

# Library Administration and Management

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## DLIS003



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**U** NIVERSITY

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# **LIBRARY ADMINISTRATION AND MANAGEMENT**

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Phagwara

## SYLLABUS

### Library Administration and Management

*Objectives:* To make the students understand the below mentioned concepts such as:

- Planning the acquisition of materials
- Negotiating borrowing materials from other libraries
- Selection of library materials
- Stacks maintenance
- Fee collection
- Membership management
- Budget management

Sr. No.	Description
1.	<b>Library Administration:</b> Function and principles, Library Authority and Library committee.
2.	<b>Personal Administration in Libraries:</b> Definition, Aims, importance, Functions, Job analysis, Job Evaluation.
3.	<b>Library Staffing:</b> Importance, Nature and function of staffing, Staff management, recruitment.
4.	<b>Library Finance:</b> Principles, Financial Resources, Methods.
5.	<b>Budget:</b> Introduction, Budgetary Classification, Practical Procedure, Budget allocation.
6.	<b>Accounting:</b> Factors and Purpose.
7.	<b>Acquisition Section:</b> Book Selection, Book ordering, Accessioning and processing.
8.	<b>Circulation Section:</b> Charging & Discharging system, Library rules, Maintenance work.
9.	<b>Periodical Section:</b> Types of Periodicals, Selection Tools, Ordering Procedure, Record System. Display of Periodicals.
10.	<b>Record and Reports:</b> Library record, annual records, Library Statistics

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## **Unit 1: Library Administration and Management**

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### **Objectives**

After studying this unit, you will be able to:

- Explain the term 'administration'
- Describe the administrative functions

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- Explain the basic principles of management
- Enumerate the function of administration department
- Discuss the management theories

## **Introduction**

This unit will introduce you to the concepts of Administration of library and management. It will give you a clear understanding of the administrative functions, principles of management, management theories, library authority and library committee.

### **1.1 Administration of Library**

Library administration means managing the performance of the operations and other activities of a library and then finally making important decisions. Administration can be defined as the act or process of administering, especially the management of a government or large institution in order to achieve the goals and objectives.

According to Theo Haimann, "Administration means overall determination of policies, setting of major objectives, the identification of general purposes and laying down of broad programmes and projects". It refers to the activities of higher level. It lays down basic principles of the enterprise. According to Newman, "Administration means guidance, leadership & control of the efforts of the groups towards some common goals".

Whereas, management involves conceiving, initiating and bringing together the various elements; coordinating, actuating, integrating the diverse organizational components while sustaining the viability of the organization towards some pre-determined goals. In other words, it is an art of getting things done through and with the people in formally organized groups.

Management and administration may seem the same, but there are differences between the two. Administration has to do with the setting up of objectives and crucial policies of every organization. What is understood by management, however, is the act or function of putting into practice the policies and plans decided upon by the administration.

Administration is a determinative function, while management is an executive function. It also follows that administration makes the important decisions of an enterprise in its entirety, whereas management makes the decisions within the confines of the framework, which is set up by the administration.

Administration is the top level, whereas management is a middle level activity. If one were to decide the status, or position of administration, one would find that it consists of owners who invest the capital, and receive profits from an organization. Management consists of a group of managerial persons, who leverage their specialist skills to fulfil the objectives of an organization.

Administrators are usually found in government, military, religious and educational organizations. Management is used by business enterprises. The decisions of an administration are shaped by public opinion, government policies, and social and religious factors, whereas management decisions are shaped by the values, opinions and beliefs of the managers.

In administration, the planning and organizing of functions are the key factors, whereas, so far as management is concerned, it involves motivating and controlling functions. When it comes to the type of abilities required by an administrator, one needs administrative qualities, rather than technical qualities. In management, technical abilities and human relation management abilities are crucial.



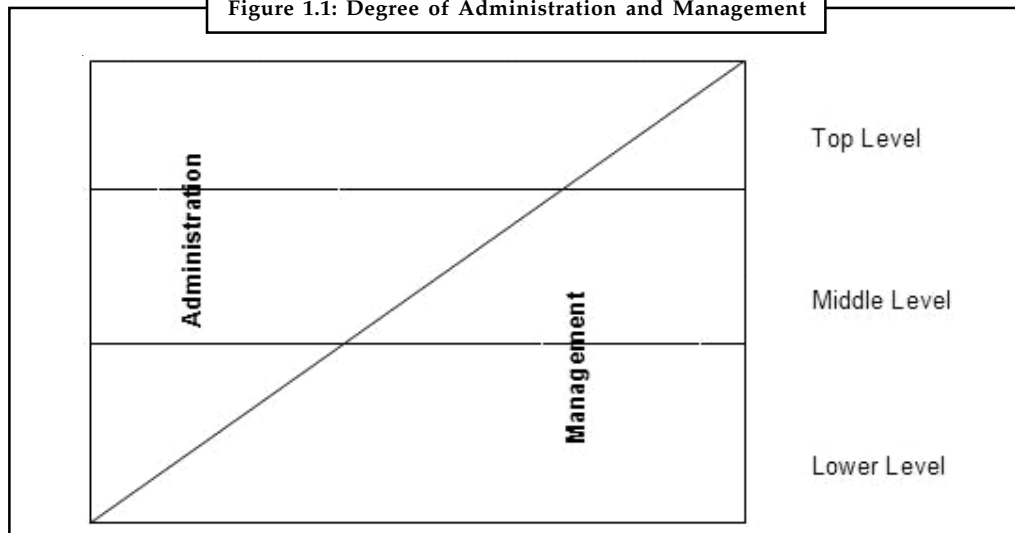
Administration usually handles the business aspects, such as finance. It may be defined as a system of efficiently organizing people and resources, so as to make them successfully pursue and achieve common goals and objectives. Administration is perhaps both an art and a science. This is because administrators are ultimately judged by their performance. Administration must incorporate both leadership and vision.

Therefore, we can see that these two terms are distinct from one another, each with their own set of functions. Both these functions are crucial, in their own ways, to the growth of an organization.

Management is really a subset of administration, which has to do with the technical and mundane facets of an organization's operation. It is different from executive or strategic work. Management deals with the employees. Administration is above management, and exercises control over the finance and licensing of an organization.

Practically, there is no difference between management and administration. Every manager is concerned with both – administrative management function and operative management function as shown in Figure 1.1. However, the managers who are higher up in the hierarchy denote more time on administrative function and the lower level denote more time on directing and controlling worker's performance i.e. management.

Figure 1.1: Degree of Administration and Management



Source: [http://www.managementstudyguide.com/management\\_administration.htm](http://www.managementstudyguide.com/management_administration.htm)



*Notes* The Journal of Library Administration is the primary source of information on all aspects of the effective management of libraries.



*Caselet*

### Rachel's Laws of Library Management

**L**ibrary resources are for use. Your job as any type of library manager is to connect resources with users, achieving the library's goals. Every staff member his/her work. Learn people's strengths and skills and deploy your staff accordingly.

*Contd....*

**Notes**

Every task its doer. Encourage responsibility and ownership of work; give credit for a job well done. Save the time of your staff. Give them the tools, support, and encouragement they need to do their jobs effectively and efficiently.

A library is a growing organism. This one needs no modification from the original. As a library manager, you need to be open to change and to helping the library evolve to meet the needs of your patrons.

Source: <http://books.infotoday.com/books/AccLibMan/sample.pdf>

### **1.1.1 Levels of Management**

“Levels of Management” is defined as a part of an organization that maintains responsibility for the productivity and the work performance of employees. The number of levels in management increases when the size of the business and work force increases and vice versa. Each level possesses certain job responsibilities within their position to ensure the effective overall operation of the organization. Level of management tells about the position of the manager in an organization on the basis of authority. Thus on the basis of authority and responsibility management can be divided in three types:

- Top Management
- Middle Management
- Lower Management

Managers at all these levels perform different functions. The role of managers at all the three levels is discussed below:

#### **Top Level of Management**

Top management consists of owner, board of directors, chief executive officer, managing director and general manager. These people are not engaged in the day to day operational activities of the organization. Their activities consist of:

- Determining the objectives and goals of the enterprises
- Framing policies and plans to achieve the goals
- Assembling the resources like money men material
- Exercising effective control
- Providing overall leadership

#### **Middle Level of Management**

Middle management consists of senior middle management or functional heads like production manager, finance manager, marketing manager and junior middle management like branch heads divisional heads. This level of the management is basically acts as link between top and low level management. Their major activities are:

- Implementing the policies and plan laid down by the top management
- Preparation of organizational setup in their departments
- Selecting suitable operative and supervisory personnel
- Assigning duties and responsibilities to lower management

- Maintaining Coordination between departments
- Collecting reports and information on performance
- Reporting to top management

### Lower Level of Management

It consists of supervisors, superintendents and foreman. They are direct in touch with technical work and workers. Actual execution of plans and polices took place at this level. Their activities include:

- Planning of day to day work
- Give orders to execute the work
- They arrange material and equipment for workers
- Provide job training to workers
- Maintain proper discipline in section and good relation among the workers
- Communicate the problems of workers to higher level.

### Self Assessment

Fill in the blanks:

1. Administration is a ..... function, while management is an executive function.
2. Administration is the top level, whereas ..... is a middle level activity.
3. .... level of management consists of supervisors, superintendents and foreman.

## 1.2 Administrative Functions

Henri Fayol a pioneer in the field of Management developed five functions of management. These were to aid in the smooth running and operation of an organization. They are not limited to a specific organization but can be customize to suit any organization. These functions are:

1. Planning
2. Organizing
3. Staffing
4. Directing
5. Controlling

### 1.2.1 Planning

Planning refers looking ahead and chalking out future courses of action to be followed. It is a preparatory step. It is a systematic activity which determines when, how and who is going to perform a specific job. Planning is a detailed programme regarding future courses of action. It is rightly said "Well plan is half done". Therefore planning takes into consideration available and prospective human and physical resources of the organization so as to get effective co-ordination, contribution and perfect adjustment. It is the basic management function which includes formulation of one or more detailed plans to achieve optimum balance of needs or demands with the available resources.

**Notes**

According to Urwick, *“Planning is a mental predisposition to do things in orderly way, to think before acting and to act in the light of facts rather than guesses”*. Planning is deciding best alternative among others to perform different managerial functions in order to achieve predetermined goals.

According to Koontz & O’Donell, *“Planning is deciding in advance what to do, how to do and who is to do it. Planning bridges the gap between where we are to, where we want to go. It makes possible things to occur which would not otherwise occur”*.

**Steps in Planning Function**

Planning function of management involves following steps:

1. Establishment of objectives
  - a. Planning requires a systematic approach.
  - b. Planning starts with the setting of goals and objectives to be achieved.
  - c. Objectives provide a rationale for undertaking various activities as well as indicate direction of efforts.
  - d. Moreover objectives focus the attention of managers on the end results to be achieved.
  - e. As a matter of fact, objectives provide nucleus to the planning process. Therefore, objectives should be stated in a clear, precise and unambiguous language. Otherwise the activities undertaken are bound to be ineffective.
  - f. As far as possible, objectives should be stated in quantitative terms. For example, Number of men works, wages given, units produced, etc. But such an objective cannot be stated in quantitative terms like performance of quality control manager, effectiveness of personnel manager.
  - g. Such goals should be specified in qualitative terms.
  - h. Hence objectives should be practical, acceptable, workable and achievable.
2. Establishment of planning premises
  - a. Planning premises are the assumptions about the lively shape of events in future.
  - b. They serve as a basis of planning.
  - c. Establishment of planning premises is concerned with determining where one tends to deviate from the actual plans and causes of such deviations.
  - d. It is to find out what obstacles are there in the way of business during the course of operations.
  - e. Establishment of planning premises is concerned to take such steps that avoid these obstacles to a great extent.
  - f. Planning premises may be internal or external. Internal includes capital investment policy, management labour relations, philosophy of management, etc. Whereas external includes socio- economic, political and economic changes.
  - g. Internal premises are controllable whereas external are non-controllable.
3. Choice of alternative course of action
  - a. When forecast are available and premises are established, a number of alternative course of actions have to be considered.

- b. For this purpose, each and every alternative will be evaluated by weighing its pros and cons in the light of resources available and requirements of the organization.
  - c. The merits, demerits as well as the consequences of each alternative must be examined before the choice is being made.
  - d. After objective and scientific evaluation, the best alternative is chosen.
  - e. The planners should take help of various quantitative techniques to judge the stability of an alternative.
4. Formulation of derivative plans
- a. Derivative plans are the sub plans or secondary plans which help in the achievement of main plan.
  - b. Secondary plans will flow from the basic plan. These are meant to support and expedite the achievement of basic plans.
  - c. These detail plans include policies, procedures, rules, programmes, budgets, schedules, etc. For example, if profit maximization is the main aim of the enterprise, derivative plans will include sales maximization, production maximization, and cost minimization.
  - d. Derivative plans indicate time schedule and sequence of accomplishing various tasks.
5. Securing co-operation
- a. After the plans have been determined, it is necessary rather advisable to take subordinates or those who have to implement these plans into confidence.
  - b. The purposes behind taking them into confidence are:
    - (i) Subordinates may feel motivated since they are involved in decision making process.
    - (ii) The organization may be able to get valuable suggestions and improvement in formulation as well as implementation of plans.
    - (iii) Also the employees will be more interested in the execution of these plans.
6. Follow up/appraisal of plans
- a. After choosing a particular course of action, it is put into action.
  - b. After the selected plan is implemented, it is important to appraise its effectiveness.
  - c. This is done on the basis of feedback or information received from departments or persons concerned.
  - d. This enables the management to correct deviations or modify the plan.
  - e. This step establishes a link between planning and controlling function.
  - f. The follow up must go side by side the implementation of plans so that in the light of observations made, future plans can be made more realistic.

### 1.2.2 Organizing

Organizing is the function of management which follows planning. It is a function in which the synchronization and combination of human, physical and financial resources takes place. All the three resources are important to get results. Therefore, organizational function helps in

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achievement of results which in fact is important for the functioning of a concern. According to Chester Barnard, "Organizing is a function by which the concern is able to define the role positions, the jobs related and the co-ordination between authority and responsibility. Hence, a manager always has to organize in order to get results."

A manager performs organizing function with the help of following steps:-

1. **Identification of activities:** All the activities which have to be performed in a concern have to be identified first. For example, preparation of accounts, making sales, record keeping, quality control, inventory control, etc. All these activities have to be grouped and classified into units.
2. **Departmentally organizing the activities:** In this step, the manager tries to combine and group similar and related activities into units or departments. This organization of dividing the whole concern into independent units and departments is called departmentation.
3. **Classifying the authority:** Once the departments are made, the manager likes to classify the powers and its extent to the managers. This activity of giving a rank in order to the managerial positions is called hierarchy. The top management is into formulation of policies, the middle level management into departmental supervision and lower level management into supervision of foremen. The clarification of authority helps in bringing efficiency in the running of a concern. This helps in achieving efficiency in the running of a concern. This helps in avoiding wastage of time, money, effort, in avoidance of duplication or overlapping of efforts and this helps in bringing smoothness in a concern's working.
4. **Co-ordination between authority and responsibility:** Relationships are established among various groups to enable smooth interaction toward the achievement of the organizational goal. Each individual is made aware of his authority and he/she knows whom they have to take orders from and to whom they are accountable and to whom they have to report. A clear organizational structure is drawn and all the employees are made aware of it.

### 1.2.3 Staffing

The managerial function of staffing involves manning the organization structure through proper and effective selection, appraisal and development of the personnel to fill the roles assigned to the employers/workforce.

According to Theo Haimann, "Staffing pertains to recruitment, selection, development and compensation of subordinates."

#### Nature of Staffing Function

Let us discuss the nature of staffing function:

1. **Staffing is an important managerial function:** Staffing function is the most important managerial act along with planning, organizing, directing and controlling. The operations of these four functions depend upon the manpower which is available through staffing function.
2. **Staffing is a pervasive activity:** As staffing function is carried out by all managers and in all types of concerns where business activities are carried out.
3. **Staffing is a continuous activity:** This is because staffing function continues throughout the life of an organization due to the transfers and promotions that take place.
4. **The basis of staffing function is efficient management of personnel:** Human resources can be efficiently managed by a system or proper procedure, that is, recruitment, selection, placement, training and development, providing remuneration, etc.

5. **Staffing helps in placing right men at the right job:** It can be done effectively through proper recruitment procedures and then finally selecting the most suitable candidate as per the job requirements.
6. **Staffing is performed by all managers:** It depends upon the nature of business, size of the company, qualifications and skills of managers, etc. In small companies, the top management generally performs this function. In medium and small scale enterprise, it is performed especially by the personnel department of that concern.

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### 1.2.4 Directing

Directing is said to be a process in which the managers instruct, guide and oversee the performance of the workers to achieve predetermined goals. Directing is said to be the heart of management process. Planning, organizing, staffing has got no importance if direction function does not take place.

Directing initiates action and it is from here actual work starts. Direction is said to be consisting of human factors. In simple words, it can be described as providing guidance to workers is doing work. In field of management, direction is said to be all those activities which are designed to encourage the subordinates to work effectively and efficiently. According to Human, "Directing consists of process or technique by which instruction can be issued and operations can be carried out as originally planned" Therefore, Directing is the function of guiding, inspiring, overseeing and instructing people towards accomplishment of organizational goals.

Direction has the following characteristics:

1. **Pervasive Function:** Directing is required at all levels of organization. Every manager provides guidance and inspiration to his subordinates.
2. **Continuous Activity:** Direction is a continuous activity as it continuous throughout the life of organization.
3. **Human Factor:** Directing function is related to subordinates and therefore it is related to human factor. Since human factor is complex and behaviour is unpredictable, direction function becomes important.
4. **Creative Activity:** Direction function helps in converting plans into performance. Without this function, people become inactive and physical resources are meaningless.
5. **Executive Function:** Direction function is carried out by all managers and executives at all levels throughout the working of an enterprise; a subordinate receives instructions from his superior only.
6. **Delegate Function:** Direction is supposed to be a function dealing with human beings. Human behaviour is unpredictable by nature and conditioning the people's behaviour towards the goals of the enterprise is what the executive does in this function. Therefore, it is termed as having delicacy in it to tackle human behaviour.

### 1.2.5 Controlling

Controlling consists of verifying whether everything occurs in conformities with the plans adopted, instructions issued and principles established. Controlling ensures that there is effective and efficient utilization of organizational resources so as to achieve the planned goals. Controlling measures the deviation of actual performance from the standard performance, discovers the causes of such deviations and helps in taking corrective actions.

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Controlling has two basic purposes:

1. It facilitates co-ordination
2. It helps in planning

**Features of Controlling Function**


Following are the characteristics of controlling function of management:

1. **Controlling is an end function:** A function which comes once the performances are made in conformities with plans.
2. **Controlling is a pervasive function:** It is performed by managers at all levels and in all type of concerns.
3. **Controlling is forward looking:** Because effective control is not possible without past being controlled. Controlling always looks to future so that follow-up can be made whenever required.
4. **Controlling is a dynamic process:** Since controlling requires taking reviewal methods; changes have to be made wherever possible.
5. **Controlling is related with planning:** Planning and Controlling are two inseparable functions of management. Without planning, controlling is a meaningless exercise and without controlling, planning is useless. Planning presupposes controlling and controlling succeeds planning.

**Self Assessment**

Fill in the blanks:

4. .... is a detailed programme regarding future courses of action.
5. Planning ..... are the assumptions about the lively shape of events in future.
6. The ..... of authority help in bringing efficiency in the running of a concern.

 <p><i>Task</i> Give an outline of the Administrative Functions.</p>
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**1.3 Management**

It is very difficult to have an all-encompassing definition of management which covers all its characteristics. Management is a vital function concerned with all aspects of the working of an enterprise. Management has been defined in a number of ways. Prof Haimann has interpreted the term “management” in three distinct aspects:

- Management as a field of study or a subject.
- Management as a team or class of people or a noun.
- Management as a process.

Management as a field of study or a subject refers to the principles and practices of management. It entails all the principles and practices as knowledge and its application in its entirety. This approach, however, fails to give the correct nature of management.

Management as a team or class of people refers to the group of managerial personnel of an enterprise functioning in their supervisory capacity. However, who are the managers and what



are the activities that should be treated as managerial, are hard to identify, unless some yardsticks are prescribed. This becomes more difficult especially when those performing managerial activities have different titles in one organisation as well as in different organisations.

Management in this context has been defined as the process of getting things done by and in cooperation with others.

Some of the important definitions of management are:

- According to Koontz, "Management is the art of getting things done with people and through informally organised groups. It is the art of creating an environment in which people can perform as individuals and yet cooperate towards attainment of group goals. It is the art of removing blocks for such a performance, a way of optimising efficiency in reaching goals."
- According to Dalton E. McFarland, "Management is the fundamental integrating and operating mechanism underlying organized effort."
- According to George R. Terry, "Management is a distinct process . . . performed to determine and accomplish stated objectives by the use of human beings and other resources."
- According to Harold Koontz and Cyril O'Donnel, "Management is the creation and maintenance of an internal environment in an enterprise where individuals, working together in groups can perform efficiently and effectively towards the attainment of group goals."
- According to W. Jack Duncan, "Management consists of all organizational activities that involve goal formation and accomplishment, performance, appraisal and the development of an operating philosophy that ensures the organization's survival within the social system."
- According to Kimball and Kimball, "Management may be defined as the art of applying the economic principles that underline the control of men and material in the enterprise under consideration."
- According to Brech, "Management may be defined as a social process entailing responsibility for the effective planning and regulation of the operations of an enterprise. Such responsibility involves (a) the installation and maintenance of proper procedures to ensure adherence to plans, and (b) the guidance, integration and supervision of the personnel comprising the enterprise and carrying out its operations."

There is no universally acceptable definition of management; so much so that Brech has stated, "Exactly what the term means is not always clear and not always agreed." Common to all above definitions is the connection of management to organizational goals. It evaluates the effectiveness of goals accomplished and devises methods for achieving those tasks which are compatible with the demands of the society within which it operates. The most widely accepted meaning of the term "management" is that management is a process by which responsible persons (e.g., managers or executives) in an organization get things done through the efforts of other persons in group activities. Before summing up, it is essential to quote the definition of management given by the American Management Association. It reads, "Management is guiding human and physical resources into dynamic organization units which attain their objectives to the satisfaction of those served and with a high degree of morale and sense of attainment on the part of those rendering services."



Notes Management as a process refers to different processes or steps of management – right from planning to organising, staffing, supervising and controlling.

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**Components of Management**

Different components of management are given below:

1. **Organisational activity:** Management is a group activity. Management is to coordinate the actions and reactions of individuals.
2. **Goal formation:** Management has some defined goals to be achieved. Goals are set considering the actions and reactions of individuals.
3. **Goal accomplishment and evaluation:** Management also evaluates the effectiveness of goal accomplishments.
4. **Organisational survival:** Managers are expected to use the resources available to them as efficiently as possible to guide the survival of an organization in the competitive world. The ability to forecast and adopt to change is also important components of management for organizational survival.
5. **Implementation:** Action is the creed of management. Policies and programmes are implemented by management.

**Self Assessment**

Fill in the blanks:

7. "Management is the fundamental ..... and operating mechanism underlying organized effort."
8. .... is the creed of management.

**1.4 Basic Principles of Management**

The basic principles of management apply to individuals, small and large libraries.

1. Characteristics of a Good Manager.
2. Strategic planning must complement strategic thinking and acting.
3. Developing a Project Management Body of Knowledge.
4. Assessing risk related to human resources, material supply and managing it at the same time.
5. Recognising professional skills required for a librarian.
6. Directing towards accomplishment of concrete results.
7. Creating new situations needed for further improvements in the organisation.

**1.4.1 Henri Fayol's Principle of Management**

Following are the fourteen principles of management developed by the Henri Fayol:

**Division of Work**

According to Henri Fayol under division of work, "The worker always on the same post, the manager always concerned with the same matters, acquire an ability, sureness and accuracy which increases their output". In other words, division of work means specialization. According to this principle, a person is not capable of doing all types of work. Each job and work should be assigned to the specialist of his job. Division of work promotes efficiency because it permits an

organizational member to work in a limited area reducing the scope of his responsibility. Fayol wanted the division of work not only at factory but at management levels also.

### **Authority and Responsibility**

Authority and responsibility go together or co-existing. Both authority and responsible are the two sides of a coin. In this way, if anybody is made responsible for any job, he should also have the concerned authority. Fayol's principle of management in this regard is that an efficient manager makes best possible use of his authority and does not escape from the responsibility. In other awards when the authority is exercised the responsibility. In other awards when the authority is exercised the responsibility is automatically generated.

### **Discipline**

According to Henri Fayol discipline means sincerity about the work and enterprise, carrying out orders and instructions of superiors and to have faith in the policies and programmes of the business enterprise, in other sense, discipline in terms of obedience, application, energy and respect to superior. However, Fayol does not advocate warning, fines, suspension and dismissals of worker for maintaining discipline. These punishments are rarely awarded. A well-disciplined working force is essential for improving the quality and quantity of the production.

### **Unity of Command**

A subordinate should take order from only one boss and he should be responsible and accountable to him. Further he claimed that if the unit of command is violated, authority is undermined, disciplined in danger, order disturbed and stability threatened. The violation of this principle will face some serious consequences. In this way, the principle of unity of command provides the enterprise disciplined stable and orderly existence. It creates harmonious relationship between officers and subordinates, congenial atmosphere of work. It is one of the Fayol's important essential principles of management.

### **Unity of Direction**

Fayol advocates "One head and one plan" which means that group efforts on a particular plan be led and directed by a single person. This enables effective co-ordination of individual efforts and energy. This fulfils the principles of unity of command and brings uniformity in the work of same nature. In this way the principle of direction create dedication to purpose and loyalty. It emphasizes the attainment of common goal under one head.

### **Subordination of Individual Interests to General Interests**

The interest of the business enterprise ought to come before the interests of the praise individual workers. In other words, principle of management states that employees should surrender their personnel interest before the general interest of the enterprise. Sometimes the employees due to this ignorance, selfishness, laziness, carelessness and emotional pleasure overlook the interest of the organization. This attitude proves to be very harmful to the enterprise.

### **Fair Remuneration to Employees**

According to Fayol wage-rates and method of their payment should be fair, proper and satisfactory. Both employees and ex-employers should agree to it. Logical and appropriate wage-rate and methods of their payment reduces tension and differences between workers and

**Notes**

management, create harmonious relationship and a pleasing atmosphere of work. Further Fayol recommends that residential facilities be provided including arrangement of electricity, water and facilities.

**Centralization and Decentralization**

There should be one central point in the organization which exercises overall direction and control of all the parts. But the degree of centralization of authority should vary according to the needs of situation. According to Fayol, there should be centralization in small units and proper decentralization in big organization. Further, Fayol does not favour centralization or decentralization of authorities but suggests that these should be proper and effective adjustment between centralization and decentralization in order to achieve maximum objectives of the business. The choice between centralization and decentralization is made after taking into consideration the nature of work and the efficiency, experience and decision-making capacity of the executives.

**Scalar Chain**

The scalar chain is a chain of supervisors from the highest to the lowest rank. It should be short-circuited. An employee should feel the necessity to contact his superior through the scalar chain. The authority and responsibility is communicated through this scalar chain. The flow of information between management and workers is a must. Business opportunities must be immediately avoided of. So we must make direct contact with the concerned employee. Business problems need immediate solution, so we cannot always depend on the established scalar chain. It requires that direct contact should be established.

**Order**

According to Fayol there should be proper, systematic and orderly arrangement of physical and social factors, such as land, raw materials, tools and equipment and employees respectively. As per view, there should be safe, appropriate and specific place for every article and every place to be used effectively for a particular activity and commodity. In other words, there are principles that every piece of land and every article should be used properly, economically and in the best possible way. There should be selection and appointment of the most suitable person to every job. There should be specific place for every one and every one should have specific place. This principle also stresses scientific selection and appointment of employees on every job.

**Equity**

The principle of equality should be followed and applicable at every level of management. There should not be any discrimination as regards caste, sex and religion. An effective management always accords sympathetic and human treatment. The management should be kind, honest and impartial with the employees. In other words, kindness and justice should be exercised by management in dealing with their subordinates. This will create loyalty and devotion among the employees. Thus, workers should be treated at par at every level.

**Stability of Use of Personnel**

Principle of stability is linked with long tenure of personnel in the organisation. This means production being a team work, an efficient management always builds a team of good workers. If the members of the team go on changing; the entire process of production will be disturbed.

It is always in the interest of the enterprise that its trusted, experienced and trained employees do not leave the organization. Stability of job creates a sense of belongingness among workers who with this feeling are encouraged to improve the quality and quantity of work.

### Initiative

Under this principle, the successful management provides an opportunity to its employees to suggest their new ideas, experiences and more convenient methods of work. The employees, who has been working on the specific job since long discover now, better alternative approach and technique of work. It will be more useful, if initiative to do so is provided to employees. In simple, to ensure success, plans should be well formulated before they are implemented.

### Spirit of Co-operation (Spirit de crops)

In order to achieve the best possible results, individual and group effort is to be effectively integrated and coordinated. Production is a team work for which the whole-hearted support and co-operation of the members at all levels is required. Everyone should sacrifice his personal interest and contribute his best energies to achieve the best results. It refers to the spirit of loyalty, faithfulness on the part of the members of the group which can be achieved by strong motivating recognition and importance of the members for their valuable contribution, effective coordination, informal mutual social relationship between members of the group and positive and constructive approach of the management towards workers' welfare.



*Notes* Fayol defines scalar chain as "the chain of superiors ranging from the ultimate authority to the lowest rank."

### 1.4.2 Taylor's Principles

The fundamental principles that Taylor saw underlying the scientific approach to management may be summarized as follows:

1. Replacing rules of thumb with science (organized knowledge);
2. Obtaining harmony in group action, rather than discord;
3. Achieving cooperation of human beings, rather than chaotic individualism;
4. Working for maximum output, rather than restricted output; and
5. Developing all workers to the fullest extent possible for their own and their company's highest prosperity.

It may be noted that these basic precepts of Taylor are not far from the fundamental beliefs of the modern manager, even though some of the techniques Taylor and his colleagues and followers developed in order to put his philosophy and principles into practice, had certain mechanistic aspects.

### 1.4.3 Barnard's Principles

Along with scientific management and the manager's tasks, many scholars and practitioners were thinking about experimenting with, and writing on, industrial psychology and on social theory both of which, in many instances, were stimulated by the scientific management

**Notes**

movement. We can get the flavour of these developments by looking briefly at the emergence of industrial psychology, the growth of personnel management, and the development of a sociological approach to human relations and management.

In determining that the task of executives (by which he meant all kinds of managers) was one of maintaining a system of cooperative effort in a formal organization, Barnard addressed himself first to the reasons for, and the nature of, cooperative systems. The logic of his analysis can be seen in the following steps:

1. Physical and biological limitations of individuals lead them to cooperate, to work in groups; while the basic limitations are physical and biological, once people cooperate, psychological and social limitations of individuals also play a part in inducing cooperation.
2. The act of cooperation leads to the establishment of a cooperative system in which physical, biological, personal, and social factors or elements are present. He also makes the point that the continuation of cooperation depends on effectiveness (does it accomplish the cooperative purpose?) and efficiency (does it accomplish the purpose with a minimum of dissatisfaction and costs to cooperating members?).
3. Any cooperative system may be divided into two parts: "organization" which includes only the interactions of people in the system, and other elements.
4. Organizations can in turn be divided into two kinds: the "formal" organisation which is that set of consciously coordinated social interactions that have a deliberate and joint purpose, and the "informal" organization which refers to those social interactions without a common or consciously coordinated joint purpose.
5. The formal organization cannot exist unless there are persons who (a) are able to communicate with one another, (b) are willing to contribute to group action, and (c) have a conscious common purpose.
6. Every formal organisation must include the following elements:(a) a system of functionalization so that people can specialize (that is, various forms of departmentalisation), (b) a system of effective and efficient incentives that will induce people to contribute to group action, (c) a system of power (authority) which will lead group members to accept the decisions of executives, and (d) a system of logical decision making.
7. The executive functions enter the process through the work of the executive in integrating the whole and in finding the best balance between conflicting forces and events.
8. To make the executive effective requires a high order of responsible leadership; as Barnard so well emphasizes, "Cooperation", not leadership, is the creative process; but leadership is the indispensable fulminator of its forces.

Barnard's thesis is a social systems approach, concentrating on major elements of the managerial job, containing extraordinary insights on decision making and leadership.

**Self Assessment**

Fill in the blanks:

9. .... and responsibility go together or co-existing.
10. The ..... is a chain of supervisors from the highest to the lowest rank. It should be short-circuited.
11. .... is a social systems approach, concentrating on major elements of the managerial job, containing extraordinary insights on decision making and leadership.

## 1.5 Library Management

Notes

The management of a library means, in simple terms, efficient and effective management of material (information resources), machinery, men and money to meet the objectives of the library. From the discussion made so far about management theories, principles and procedures, it is obvious that they are very much relevant in managing libraries too. Yet it is very important for us to note that libraries are basically paternalistic, service-oriented and not-for-profit organizations. As a matter of fact, it is that part of management which is called "service management" which is more important to libraries than the management of industrial and profit-oriented organizations.

At this juncture, it is necessary for us to have a quick look at some of the basic characteristics of service and not-for-profit organizations. Four important characteristics of service are:

**Intangibility (or impalpability):** Services often may not directly appeal to the senses of customers.

**Inseparability (i.e., customer participation in service production):** Service is usually produced in the presence of customers and service production and consumption are inseparable.

**Heterogeneity (variability):** Service rendered cannot be fully standardised and as a result there will be variations in the quality of service rendered to different customers.

**Perishability (Non-inventoriability):** Many times service cannot be stored and an inventory developed for later physical distribution.

In addition to the above four of fundamental characteristics of service the following other characteristics of the service for not-for-profit organizations are worth noting. It is difficult to measure and compare performance of service organizations. It is equally difficult to inspect quality, determine and implement specifications, take samples and try in advance as well as determine the cost of a service. The relationship between costs and benefits (i.e. inputs and output/outcome) is blurred. Output is often a mix of physical facilities and mental or physical labour. There is no title or ownership transfer when a service is rendered. Service organizations are labour (personality) and equipment intensive and are dominated by professionals. In service organizations, excellence is rare and mediocrity common and, surprisingly, dissatisfaction is rarely conveyed by customers. Service organizations are usually small and operate at a single location. Lastly, market forces play a less significant role in service organizations. The characteristics of service organizations are by no means exhaustive. But these are most basic and have their impact on the nature and style of service management.

Management of a library (as a service organization) is accomplished by a combination of basic management functions and skills discussed earlier as well as management of roles. One can think of three important roles for a library manager:

1. **Interpersonal role:** (a) library manager as a figurehead with duties of a ceremonial nature, (b) leading role, (c) Raison role.
2. **Informational role:** (a) perpetually scanning and monitoring information, (b) disseminator role, (c) specific role of informing and satisfying various groups.
3. **Decisional role:** (a) As entrepreneur looking out for new ideas and adopt them for change (b) solving unanticipated problems and handling disturbances, (c) resources allocation role of dividing work and delegating authority, (d) negotiator role.

Libraries have grown with times in the social, cultural, scientific and technological environments in which they have been developing and operating. Modern libraries are not merely storehouses of knowledge and information but are also live and active institutions involved in a vital

**Notes**

service to society. Today knowledge and information are considered as important as energy and biotechnology and hence have to be taken care of and managed well. Scientific management theories, principles and practices are, therefore, increasingly being applied to manage libraries to provide effective and quality service.

In the light of what we have studied so far, some potential areas of library activities in which modern management techniques and methods could be applied are given below. The list is indicative and not exhaustive. The important point to note is that library managers and workers should develop an attitude and approach to scientific management and cultivate a culture so essential to proper library management.

**Table 1.1: Applications of Management Techniques to Library Functions**

<b>Library functions</b>	<b>Management techniques</b>	<b>Purpose served</b>
Information and Documentation services such as CAS, Indexing and Abstracting, SDI, etc.	PERT/CPM	To streamline publication schedules and connected operations
Document delivery	Operations Research techniques like queuing theory, linear programming	To develop an effective service delivery system
Information products and services	Marketing techniques	For promoting use & sale
Planning and plan implementation	Network analysis	To develop a plan model
Forecasting	Delphi technique	For planning activities and service
General management	Management information Systems, principles and procedures	For operational efficiency and decision making
Evaluation of operations	Cost benefit analysis and cost effectiveness analysis	For economical operation
Budgeting	PPBS, ZBB	For preparing activity and performance oriented budgets
Housekeeping routine operations	Computer simulation techniques	For streamlining operational efficiency and work output

**Self Assessment**

Fill in the blanks:

12. .... organizations are labour (personality) and equipment intensive and are dominated by professionals.
13. .... of a library is accomplished by a combination of basic management functions and skills.





*Task* Find out the list of Software used to develop an effective Library management System.

## 1.6 Management Theories

The main theories of management are discussed below:

### 1.6.1 Classical Organization Theory School

Scientific management was concerned with increasing the productivity of the shop and the individual worker. Classical organization theory grew out of the need to find guidelines for managing such complex organization as factories. Classical Organization Theory focused more on managing the total organization. Henri Fayol was the leader in this field, and he was the first to identify planning, organizing, leading, and controlling as important managerial concepts.

### 1.6.2 The Behavioural Approach

It emphasizes scientific research as the basis for developing theories about human behaviour in organizations that can be used to develop practical guidelines for managers.

1. The emphasis is upon developing useful tools for managers. Unlike Scientific Management from the Classical Era, the findings in behavioural studies are often somewhat difficult to find with mathematical certainty. That does not mean however, that the scientific approach should not be attempted nor that the findings of such an approach are any less useful.
2. An example is the idea of improving performance by setting goals the individual finds to be attainable yet not too easy.

Contributions of the behavioural viewpoint:

1. Spotlight the managerial importance of such factors as communication, group dynamics, motivation, and leaders.
2. Articulates practical applications of behavioural studies.
3. Draws on the findings of a number of disciplines such as management, psychology, sociology, anthropology, and economics.
4. Highlights the importance of an organization's members as active human resources rather than passive tools.

### 1.6.3 Theory X and Theory Y

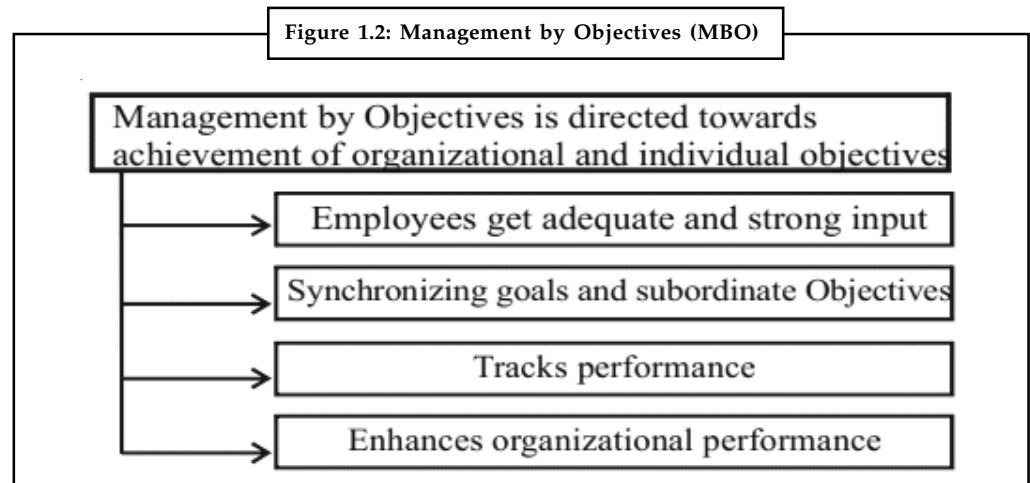
Douglas McGregor (1906–1964) developed the Theory X and Theory Y dichotomy about the assumptions managers make about workers and how these assumptions affect behaviour.

- (a) **Theory X managers** tend to assume that workers are lazy, need to be coerced, have little ambition, and are focused on security needs. These managers then treat their subordinates as if these assumptions were true.
- (b) **Theory Y managers** tend to assume that workers do not inherently dislike work, are capable of self-control, have the capacity to be creative and innovative, and generally have higher-level needs that are often not met on the job. These managers then treat their subordinates as if these assumptions were true.
- (c) Workers, like all of us, tend to work up or down to expectations.

Notes

**1.6.4 Management by Objectives**

Management by objectives is one of the modern approaches to management, which was introduced by Peter Drucker. He mentioned that what the enterprise needs is the principle of management that will give full scope to individual strength and responsibility and at the same time provide a common direction to vision and effort, establish teamwork and harmonize the goals of the individuals with the common organizational goals. MBO is a system in which specific performance objectives are determined through participative approach. Progress towards objectives is periodically reviewed and rewards determined accordingly. In other words it refers to a formal, or moderately formal, set of procedures that begins with goal setting and continues through performance review. The key to MBO is that it is a participative process, actively involving managers and staff members at every organizational level. By building on the link between the planning and controlling functions, MBO helps to overcome many of the barriers to planning.



This approach is also known by other names such as ‘Management by Results’ (MBR), ‘Goal Management’, ‘Planning by Objectives’ (PBO), ‘Results Management’, ‘Joint Target Setting’, ‘Work Planning and Review’. Today, MBO is used not only as a technique of goal setting but also as a total system of planning, motivation, performance appraisal and self-control.



*Example:* To illustrate MBO: A company that is seeking to get people to work more collaboratively than individually gives its people objectives that they cannot achieve alone. There is no explicit requirement to work together, but the people soon find that they only way to succeed is to collaborate.

**Self Assessment**

Fill in the blanks:

14. The ..... emphasizes scientific research as the basis for developing theories about human behaviour in organizations that can be used to develop practical guidelines for managers.
15. Management by Objectives is one of the modern approaches to management, which was introduced by .....

## 1.7 Functions of Administration Department

Notes

Administration is the range of activities connected with organizing and supervising the way that an organization or institution functions. Administration in an organization helps in the proper running of the organization in all aspects. Administration is the basic need for a long term organization. The role of administration department within an organization is to process all of the admin and documents for the rest of the company. There are many different departments that need to have different things done with their admin. The main functions of an administration department of an organization are:

- To process paperwork for external suppliers.
- To process paperwork and information for internal people. This could be anything from looking after the basic bills to the internal post.
- Looking after the internal communications so that all members of the organization are aware of what is going on within the organization.
- Organizing any deliveries or suppliers coming into the offices for the day for any reason.
- Arranging company extras such as company cars and any hotels for business trips that may be needed.
- Sending out any mail on behalf of the company. This could be for different stakeholders, customers or even for staff.

The administration department will be responsible for ensuring that all records that pass through the department are filed correctly and can be found and referred to if and when they ever become necessary.

These will be records of purchases and expenses from different parts of the company and their approval from the finance department. There will also be different confidential information about employees that are owned by the Human Resources department. These too will be stored and used by the admin department. This is an important department for any company and they work across all departments and with all kinds of work. No one day is the same as the last in an administration department as there is so much that they are responsible for.



*Notes* Administration is a thinking function because plans and policies are determined under it.

### Self Assessment

Fill in the blanks:

16. ....in an organization helps in the proper running of the organization in all aspects.
17. Administration department sends out any mail on behalf of the .....

Notes



Case Study

### Unifying Harvard's Libraries

After “exhaustive analysis,” an implementation work group of the Task Force on University Libraries has recommended creation of a coordinated management structure for the entire University Library system. A new position, executive director of the University Library, will report to a board of directors chaired by Provost Steven E. Hyman and composed of Pforzheimer University Professor Robert Darnton, currently director of the Harvard University Library, other faculty members, and deans of Harvard schools (or their designates). This new administrative structure seeks to preserve local autonomy by serving scholarly interests within specialized areas of study such as business or medicine, while facilitating the “global strategic, administrative and business processes” of the library system as a whole. (In interviews with *Harvard Magazine* last year, Darnton, Hyman, and professor of philosophy and theology David C. Lamberth, who chairs the implementation work group, discussed the challenges of shepherding the libraries through the digital revolution.)

“We’re trying to pull together what has been an extremely decentralized system...under a unified management structure...which will exercise oversight and shape...the strategic priorities of the library University-wide,” says Lamberth. There are currently 73 separate libraries within the University system. This change in the structure of their governance will facilitate, for example, the coordination of acquisitions and technology services, including online portals that patrons use to find things in the University’s vast collections.

The representative structure of the board, Lamberth continues, will allow Harvard to retain “that tight connection to the academic program and priorities of the schools, “a “great strength” that has “distinguished our collection.” This will become even more important as “pedagogical support, development of courses, and teaching resources” are integrated into the services that academic libraries are expected to provide—part of a “growing trend,” Lamberth notes.

President Drew Faust is expected to nominate the library system’s first executive director within the next few weeks; the composition of the board will also likely be announced in that time frame.

#### Questions

1. Discuss the new Administrative structure of Harvard University Library system.
2. What were the pitfalls in the existing Library System of the University?
3. Summarise the case problem and solution in five points.

Source: <http://harvardmagazine.com/2009/11/harvard-library-system-faces-restructuring>

### 1.8 Summary

- Library administration means managing the performance of the operations and other activities of a library and then finally making important decisions.
- Practically, there is no difference between management and administration. Every manager is concerned with both – administrative management function and operative management function.

- Management is really a subset of administration, which has to do with the technical and mundane facets of an organization's operation.
- "Levels of Management" is defined as a part of an organization that maintains responsibility for the productivity and the work performance of employees.
- Henri Fayol a pioneer in the field of Management developed five functions of management. They are: Planning, Organizing, Staffing, Directing, Controlling.
- Management is a vital function concerned with all aspects of the working of an enterprise.
- Bernard's thesis is a social systems approach, concentrating on major elements of the managerial job, containing extraordinary insights on decision making and leadership.
- The Behavioural Approach emphasizes scientific research as the basis for developing theories about human behaviour in organizations that can be used to develop practical guidelines for managers.
- Douglas McGregor (1906–1964) developed the Theory X and Theory Y dichotomy about the assumptions managers make about workers and how these assumptions affect behaviour.
- The key to MBO is that it is a participative process, actively involving managers and staff members at every organizational level.

### 1.9 Keywords

**Administration:** Administration is the range of activities connected with organizing and supervising the way that an organization or institution functions.

**Bernard's Thesis:** Bernard's thesis is a social systems approach, concentrating on major elements of the managerial job, containing extraordinary insights on decision making and leadership.

**Departmentation:** This organization of dividing the whole concern into independent units and departments is called departmentation.

**Heterogeneity:** Heterogeneity is the quality of being diverse.

**Intangibility:** Incapable of being perceived by the senses.

**Management by Objective:** MBO is a system in which specific performance objectives are determined through participative approach.

**Management:** Management is the process of reaching organizational goals by working with and through people and other organizational resources.

### 1.10 Review Questions

1. Describe the administrative functions.
2. Discuss the degree of administration and management.
3. State and explain the levels of management.
4. Explain the basic principles of management.
5. What are the functions of administration department?
6. Discuss the management theories in detail.
7. Differentiate between leadership and management.

Notes

**Answers: Self Assessment**

- |                      |                          |
|----------------------|--------------------------|
| 1. Determinative     | 2. management            |
| 3. Lower             | 4. Planning              |
| 5. premises          | 6. clarification         |
| 7. integrating       | 8. Action                |
| 9. Authority         | 10. scalar chain         |
| 11. Bernard's thesis | 12. Service              |
| 13. Management       | 14. Behavioural approach |
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| 17. Company          |                          |

**1.11 Further Readings**



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## Unit 2: Library Authority and Communities

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### Objectives

After studying this unit, you will be able to:

- Explain the sources of formal authorities
- Discuss the difference between authority and power
- Explain the use of authority
- Explain the responsibility in authority
- Describe the line and staff authority

**Notes**

- Discuss the delegation of authority
- Explain the State and Local library authority
- Discuss the centralization and decentralization in authority

## **Introduction**

Libraries play an important role in the academic world. They provide access to information resources. According to Dr. S. R. Ranganathan, the father of Library Science in India, "Libraries are not mere store houses; they are rich springs from which knowledge flows out to irrigate the wide field of education and culture". Libraries are a service organisation whose assets and services are both tangible and intangible. The document resources, human resources and infrastructure facilities like building, equipment and furniture are the tangible assets. The intangible services comprise the services rendered by the staff.

The libraries did exist from the time when man learnt the art of recording and communicating the ideas. The changes in all fields are inevitable. The libraries too changed from time to time to meet customer's demand. It is still changing and it has to change in future too. Some of the important factors that helped the libraries to change are, the invention of ink and paper, printing technology, information explosion, growth in publication, changing customers' expectations, competitors, information technologies and digital based resources.

### **2.1 Sources of Formal Authority**

The exercise of authority is a constant and pervasive phenomenon in the human society. Human society maintains itself because of 'order' and it is the authority that serves as the foundation of social order.

It is wrong to assume that 'authority' is purely a political phenomenon. In fact, in all kinds of organisations, political as well as non-political, authority appears. Every association in society whether it is temporary or permanent, small or big, has its own structure of authority. Similarly a library also has its own structure of authority.

According to E.A. Shills, "*Authority is that form of power which orders or articulates the actions of other actors through commands which are effective because those who are commanded regard the commands as legitimate.*"

Max Weber used the term "authority" to refer to legitimate power.

In simple words, it can be said that authority refers to power which is regarded as legitimate in the minds of followers.

Weber's notion of authority does not imply that power is legitimate and that illegitimate power plays no role in society. "Weber only argued that legitimacy is a general condition for the most effective and enduring manifestations of power. Still this legitimacy may take different forms and different justifications."

Different level executives in a library must be given authorities to discharge their function efficiently. The person who is given the power to command is called supervisor and the persons on whom such power is exercised is called subordinates. These are three types of origin of library authorities. There are formal authority, acceptance authority and competence authority.

**Formal Authority:** When an executive enjoys some authority by virtue of his position in the library, it is called formal authority. The examples of formal authority are deriving of authority by the technical processing assistant from the library director. The authority, which originates



from the placement of a person in the library, is called formal authority. Since authority originates from the position of persons in the library structure, it is also termed as positional authority. It is the official power, which comes from the positions in the library. In formal authority, authority stems from the top and is transmitted downwards through the line by the help of delegation of authority. The authority is highest in the hands of the chairman and lowest in the hands of first line supervisors.

**Acceptance Authority:** Another source of authority is acceptance from the sub-ordinates. When the subordinates accept the authority of the supervisor, it is called acceptance authority. If the ideas, activities, opinions and procedures are followed by the superiors are accepted by the subordinates than authority is known as acceptance authority. According to acceptance theory of authority, authority arises only when the orders are accepted by the subordinates. Authority flows to librarians through acceptance of his orders by the subordinates. There will be no authority if the subordinates do not accept his orders. When the subordinates accept the order of the supervisor because of his personality, it is called charismatic theory of authority. A subordinate accepts authority because of the following reasons:

1. The subordinate expect some reward by accepting authority.
2. The subordinate wants to avoid disciplinary actions.
3. The subordinate believes that authority is legitimate.
4. The subordinates regard the age and experience of the manager.

Acceptance theory of authority is subject to criticism because it is unreal and gives too much emphasis on subordinates. Barnard defines authority as the character of communication by which an order is accepted by an individual as governing the actions that individual takes within the system.

Barnard maintains that authority will be accepted only under the following conditions:

- The individual can understand the order being communicated.
- The individual believes the order is consistent with the purpose of the organization.
- The individual sees the order as compatible with his or her personal interests.
- The individual is mentally and physically able to comply with the order.


The fewer of these four conditions that are present, the lower the probability that authority will be accepted and obedience be exacted.

Barnard offers some guidance on what managers can do to raise the odds that their commands will be accepted and obeyed. He maintains that more and more of a manager's commands will be accepted over the long term if:

- The manager uses formal channels of communication and these are familiar to all organization members.
- Each organization member has an assigned formal communication channel through which orders are received.
- The line of communication between manager and subordinate is as direct as possible.
- The complete chain of command is used to issue orders.
- The manager possesses adequate communication skills.
- The manager uses formal communication lines only for organizational business.
- A command is authenticated as coming from a manager.

**Notes**

**Competence Authority:** According to this theory, Authorities also dirges from the personal skills, knowledge experience, extra-ordinary academic excellence such factors shown the competency of the managers. When authority emerges because of one’s competence in certain field, it is called competence authority.




*Notes* Authority means the right to command, to take decision and to guide the action of others.

**Self Assessment**

Fill in the blanks:

1. Authority refers to power which is regarded as ..... in the minds of followers.
2. When the subordinates accept the authority of the ....., it is called acceptance authority.
3. When authority emerges because of one’s competence in certain field, it is called .....



*Caselet*      **Authority**

**T**he right to acquire action of others is known as authority. There are various types of authority like formal authority, acceptance authority, authority by situation, positional authority and technical authority. The authority, which originates from the placement of a person in the organisation, is called formal authority. Since authority originates from the position of persons in the organisation structure, it is also termed as positional authority. It is the official power, which comes from the positions in the office organisation. In formal authority, authority stems from the top and is transmitted downwards through the line by the help of delegation of authority. The authority is highest in the hands of the chairman and lowest in the hands of first line supervisors.

Source: <http://www.preservearticles.com/201101062672/formal-authority.html>

**2.2 Difference between Authority and Power**

The terms Authority and Power have different meanings in management of any organization such as library.

Authority is the right given to a superior to achieve the objectives of the library. It is a right to get the things done through others. It is a right to take decisions. It is a right to give orders to the subordinates and to get obedience from them. A manager cannot do his work without authority.

A manager gets his authority from his position or post. He gets his authority from the higher authorities. The lower and middle-level managers get their authority from the top-level managers. The top-level managers get their authority from the shareholders. Authority always flows downwards. It is delegated from the top to the bottom.

Power is a broader concept than authority. Power is the ability of a person or a group to influence the beliefs and actions of other people. It is the ability to influence events. Power can

be personal power. A person gets his personal power from his personality or from his expert knowledge. Doctors, Lawyers, Engineers, Programmers, etc. get their power from their expertise and professional knowledge. Power can also be legitimate or official power. This power comes from a higher authority.

In management, authority differs from power in the following ways:

- **Nature:** Authority is the formal right given to a manager to make decisions or to command. Power is the personal ability to influence others or events.
- **Flow:** Authority flows downwards in the organisation. This is because it is delegated by the superiors to the subordinates. Power can flow in any direction. Even subordinates have power over their superiors, if they can influence their behaviour. So power can flow upwards, downwards or horizontally.
- **Organisational Charts:** Authority relationships (superior-subordinate relationships) can be shown in the organisation charts. Power relationships cannot be shown in organisation charts.
- **Level of Management:** Authority depends on the level of management. Higher the level of management, higher will be the authority and vice-versa. Power does not depend on the level of management. Power can exist at any level of management. Even a lower-level manager or a worker can have power to influence the behaviour of a top-level manager.
- **Legitimacy:** Authority is always official in nature. So it is legitimate. Power need not be official in nature. So it need not be legitimate.
- **Position and Person:** Authority is given to a position or post. The manager gets the authority only when he holds that position. Power resides (lives) in the person who uses it.



*Notes* According to Henri Fayol: "Authority is the right to give orders and power to exact (get) obedience."



*Task* Differentiate between authority and power in a tabular form.

## Self Assessment

Fill in the blanks:

4. ....is the ability of a person or a group to influence the beliefs and actions of other people.
5. Authority flows ..... in the organisation.

## 2.3 Use of Authority

The fostering of democratic norms in the library depends, to a great extent, the way authority is used within the library system.

The handling of the 'authority question,' is no doubt, very ticklish but if there is concentration of authority only in one person or a few select ones democratic values can be seriously endangered

**Notes**

and though deep and bitter divergences are found in the very nature of the democratic use of authority, if harmony is to be maintained within the library system a free discussion of views in tune with democratic values must be facilitated.

Even at the level of users there should be a free and fair use of authority. Delegated authority is the perfect system of authority. Even among users there can be two types of headers.

The autocratic leaders believe in dictating terms, destructive criticism and breeding hostility and distrust. Whereas the democratic leaders on the other hand believe in giving encouragement to others, offer constructive criticism and strengthen cordial relationships within the group. It is, indeed, needless to say that autocratic leader creates an unhealthy social climate in the library and becomes an obstacle to the enforcement of democratic norms.

A healthy social climate in a library can be forthcoming only if there exists among its members mutual harmony and co-operation and academic work is allowed to be carried on in an authority free atmosphere.

To conclude it can be said that the library is a system of individuals and relationships. The library is a miniature social system that can prepare the young to shoulder responsibilities and help them to step into their adult roles. This small unit called the library can initiate the young effectively into the ways of a larger social system, the society.



*Caution* The use of authority is not restricted to the staff alone.

**Self Assessment**

Fill in the blanks:

6. ....authority is the perfect system of authority.
7. The library is a miniature ..... system that can prepare the young to shoulder responsibilities and help them to step into their adult roles.

**2.4 Line and Staff Authority**

In many organisation, managers are authority by dividing it into line authority and staff authority. These authorities differ according to the kinds of power on which they are based.

**Line Authority**

The most fundamental authority within an organization reflects existing superior-subordinate relationships. It consists of the right to make decisions and to give order concerning the production, sales or finance related behaviour of subordinates.

In general, line authority pertains to matters directly involving management system production, sales, finance etc., and as a result with the attainment of objectives.

People directly responsible for these areas within the organization are delegated line authority to assist them in performing their obligatory activities.

**Staff Authority**

Staff authority consists of the right to advise or assist those who possess line authority as well as other staff personnel. Staff authority enables those responsible for improving the effectiveness of line personnel to perform their required tasks.

Line and Staff personnel must work together closely to maintain the efficiency and effectiveness of the organization. To ensure that line and staff personnel do work together productively, management must make sure both groups understand the organizational mission, have specific objectives, and realize that they are partners in helping the organization reach its objectives.

Size is perhaps the most significant factor in determining whether or not an organization will have staff personnel. The larger the organization, the greater the need and ability to employ staff personnel is.

As an organization expands, it usually needs employees with expertise in diversified areas. Although small organizations may also require this kind of diverse expertise, they often find it more practical to hire part time consultants to provide it as needed rather than to hire full time staff personnel, who may not always be kept busy.



*Example:* A plant manager has line authority over each immediate subordinate, human resource manager, the production manager and the sales manager.

However, the human resource manager has staff authority in relation to the plant manager, meaning the human resource manager possesses the right to advise the plant manager on human resource matters.

Still final decisions concerning human resource matters are in the hands of the plant manager, the person holding the line authority.

### Role of Staff Personnel

Harold Stieglitz has pinpointed three roles that staff personnel typically perform to assist line personnel:

- **Advisory or Counselling Role:** In this role, staff personnel use their professional expertise to solve organizational problems. The staff personnel are, in effect, internal consultants whose relationship with line personnel is similar to that of a professional and a client.
- **Service Role:** Staff personnel in this role provide services that can more efficiently and effectively be provided by a single centralized staff group than by many individuals scattered throughout the organization. This role can probably best be understood if staff personnel are viewed as suppliers and line personnel as customers.
- **Control Role:** Staff personnel help establish a mechanism for evaluating the effectiveness of organizational plans.

The role of staff in any organization should be specifically designed to best meet the needs of that organization.

### Conflict in Line – Staff Relationship

From the viewpoint of line personnel, conflict is created because staff personnel tend to:

- Assume Line Authority
- Do not give Sound Advice
- Steal Credit for Success
- Fail to Keep line personnel informed of their activities
- Do not see the whole picture.

From the viewpoint of Staff Personnel, conflict is created because line personnel do not make proper use of staff personnel, resist new ideas and refuse to give staff personnel enough authority to do their jobs.

**Notes**

Staff Personnel can often avert line-staff conflicts if they strive to emphasize the objectives of the organization as a whole, encourage and educate line personnel in the appropriate use of staff personnel, obtain any necessary skills they do not already possess, and deal intelligently with the resistance to change rather than view it as an immovable barrier.

Line personnel can do their part to minimize line staff conflict by sing staff personnel wherever possible, making proper use of the staff abilities, and keeping staff personnel appropriately informed.

**Self Assessment**

Fill in the blanks:

- 8. The larger the organization, the greater the need and ability to employ .....
- 9. .... authority enables those responsible for improving the effectiveness of line personnel to perform their required tasks.

**2.5 Delegation of Authority**

Authority is the key to managerial job. It denotes the right to make decision and command subordinates to accord these decisions. When the office manager is over burdened with official assignments, he may allocate or divide it among the subordinates to get the work done by them. The process of allocation of office work among the subordinates is called delegation of authority. So delegation of authority means giving the subordinate authority to do something which the executives do not have time to do. The process of delegation gives a gain to the subordinates because they become closer with the supervisor.

Delegation of authority involves:

- (a) Assigning of duties to subordinates.
- (b) Delegating required amount of authority to the subordinate to enable them to discharge the duties assigned to them.
- (c) Assumption of responsibility by the subordinates.

Delegation of authority is one vital organizational process. It is inevitable along with the expansion and growth of a business enterprise. Delegation means assigning of certain responsibilities along with the necessary authority by a superior to his subordinate managers. Delegation does not mean surrender of authority by the higher level manager. It only means transfer of certain responsibilities to subordinates and giving them the necessary authority, which is necessary to discharge the responsibility properly. Delegation is quite common in all aspects of life including business. Even in the college, the principal delegates some of his authority to the vice-principal.

In delegation, an attempt is being made to have meaningful participation and cooperation from the subordinates for achieving certain well-defined results. Due to delegation, the routine responsibilities of the superior are reduced. As a result, he concentrates on more urgent and important matters. Secondly, due to delegation, subordinate becomes responsible for certain functions transferred to him. Delegation is a tool, which a superior manager uses for sharing his work with the subordinates and thereby raising his efficiency.

Delegation is not a process of abdication. The person who delegates does not divorce himself from the responsibility and authority with which he is entrusted. He remains accountable for the overall performance and also for the performance of his subordinates. Delegation is needed when the volume of work to be done is in excess of an individual's physical and mental capacity.

Delegation involves the following three basic elements:

- Assignment of duties to subordinates,
- Granting of authority to enable the subordinates to perform the duties assigned, and
- Creation of obligation on the part of subordinate to perform duties in an orderly manner.

### 2.5.1 Definitions of Delegation of Authority

According to O. S. Miner, "Delegation takes place when one person gives another the right to perform work on his behalf and in his name and the second person accepts a corresponding duty or obligation to do that is required of him."

According to Louis Allen, "Delegation is the dynamics of management, it is the process a manager follows in dividing the work assigned to him so that he performs that part which only he, because of his unique organizational placement, can perform effectively, and so that he can get others to help him with what remains."



*Did u know?* Delegation means assigning work to the others and giving them authority to do so.

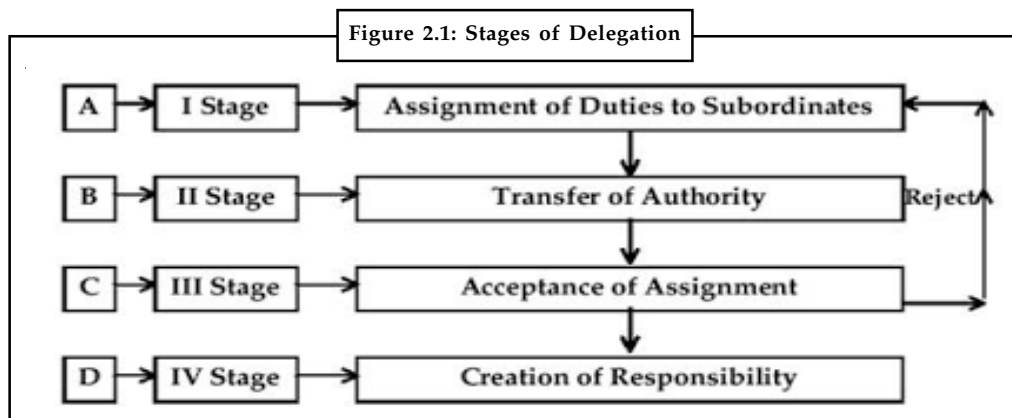
### 2.5.2 Objectives of Delegation of Authority

The objectives of delegation of authority are to:

- Reduce the excessive burden on the superiors i.e., executives and managers functioning at different levels.
- Provide opportunities of growth and self-development to junior executives.
- Create a team of experienced and matured managers for the organisation. It acts as a technique of management and human resource development.
- Improve individual as well as overall efficiency of the organisation.

### 2.5.3 Process of Delegation of Authority

Delegation process involves four distinct stages. The process of delegation moves through these stages. Figure 2.1 shows the stages in the process of delegation of authority.



Source: <http://kalyan-city.blogspot.com/2010/07/delegation-of-authority-principles-and.html>

## 2.5.4 Advantages/Importance of Delegation of Authority

Delegation of authority has the following advantages/importance:

- ***It relieves manager for more challenging jobs:*** Delegation makes it possible for the managers to distribute their workload to others. Thus, managers are relieved of routine work and they can concentrate on higher functions of management like planning, organising, controlling, etc.
- ***It leads to motivation of subordinates:*** Subordinates are encouraged to give their best at work when they have authority with responsibility. They take more initiative and interest in the work and are also careful and cautious in their work. Delegation leads to motivation of employees and manpower development.
- ***It facilitates efficiency and quick actions:*** Delegation saves time enabling the subordinates to deal with the problems promptly. They can take the decisions quickly within their authority. It is not necessary to go to the superiors for routine matters. This raises the overall efficiency in an Organisation and offers better results in terms of production, turnover and profit.

## 2.5.5 Obstacles/Barriers to Effective Delegation of Authority

### Obstacles / Barriers on the Part of Manager / Superior / Delegator

These are discussed as follows:

- ***Unwillingness of the manager to delegate authority:*** Some superiors/managers tend to think that they can do the job better when they themselves handle the job. The attitude that 'I can do it better myself' on the part of superior acts as an obstacle to delegation. Some managers (superiors) who are autocratic and power worshippers feel that delegation will lead to reduction of their influence in the Organisation. A manager may feel that if he has a competent subordinate and if he delegates authority to the subordinate, quite likely he will outshine him (manager) and may be promoted.
- ***Fear of competition:*** A manager may feel that if he has a competent subordinate and if he delegates authority to the subordinate, quite likely he will outshine him. Fear of subordinate's excellence may come in the way of delegation.
- ***Lack of confidence in subordinates:*** A manager may hesitate to delegate authority, if he feels that his subordinate is not competent to deal with the problem and take decisions. Even fear of losing control over the subordinates acts as an obstacle to delegation. In addition, fear of being exposed due to personal shortcomings may act as an obstacle in the process of delegation.
- ***Lack of ability to direct:*** Sometimes, a manager may experience difficulty in directing the efforts of his subordinates because of his inability to identify and communicate the essential features of his long-range plans and programmes.
- ***Absence of controls that warn of coming troubles:*** An Organisation might not have developed the controlling techniques to know in advance the serious problems lying ahead. It may happen due to concentration of power in the hands of few people. As a result, manager may resist delegation.
- ***Conservative and cautious temperament of the manager:*** If a manager has a conservative and over-cautious approach, there will be psychological barrier in the way of delegation.



A manager avoids delegation as he feels that something may go wrong even when the instructions given are clear and the subordinates are reliable.

- **Desire to dominate subordinates:** Managers (Superiors) normally, have a desire to dominate the subordinates functioning under their control. They feel that their domination will reduce if the powers are delegated to subordinates. They also feel that due to delegation, the subordinates will know their managerial deficiencies. In order to maintain their superior status and in order to dominate the subordinates, they avoid delegation itself.

### Obstacles / Barriers on the Part of Subordinates (Why Subordinates Resist Delegation?)

These are discussed as follows:

- **Too much dependence on the manager for decisions:** Some subordinates avoid responsibility even when the superior/manager is prepared to delegate authority. They want the manager to tackle problems and take decisions. A subordinate who is not confident about his performance/ability will certainly try to shirk responsibility even though his superior is prepared to delegate functions and authority.
- **Fear of criticism:** Subordinates express unwillingness to accept delegated authority because of the fear of criticism in the case of mistakes. They fear that they may be criticized by others if they commit mistakes. Such subordinates have the following feeling in their mind, "Why should I stick my neck out for my boss?"
- **Lack of information:** A subordinate may hesitate to accept a new assignment, when he knows that necessary information to perform the job is not likely to be made available to him. He is reluctant to accept delegated functions and authority as he feels that he will not be able to perform well due to inadequate information available.
- **Absence of positive incentives:** Positive incentives like recognition of work and rewards go a long way in building up the morale of subordinates. In the absence of such incentives in the form of recognition, appreciation or monetary benefit, a subordinate may not be prepared to accept delegation of authority.
- **Absence of self-confidence:** A subordinate may lack self-confidence about his ability to take quick and correct decisions. He may not like to accept new challenging functions as he lacks self-confidence. Thus, lack of self-confidence on the part of subordinates is one obstacle which comes in the way of delegation of authority.
- **Difficulty in decision-making:** A subordinate may not have the skill and the expertise to take quick and correct decisions. He prefers to go to his superior (boss) and ask for his guidance or opinion. Such psychology acts as a cause for non-acceptance of delegation. A subordinate avoids delegation due to such mental tension or inferiority complex.
- **Poor superior-subordinate relations:** Absence of cordial relations in between the superior and the subordinates hampers the process of delegation of authority. The attitude of the superior towards subordinate may not be friendly but hostile. There may be undue interference in the work assigned to the subordinate. Even the good work of subordinate may not be appreciated by the superior. Such situation creates unfavourable attitude of subordinate towards delegation. He avoids delegation as and when offered.
- **Undue interference by superior:** A superior should not interfere in the duties delegated to the subordinate. He may offer guidance as and when asked for. Some superiors interfere in the work of his subordinate and try to control him often and again. In the absence of

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legitimate freedom, the subordinate becomes uneasy and prefers to remain away from the process of delegation.

- **Fear of being exposed:** Some subordinates may have inferiority complex. They feel that they have limited capacity to accept the challenges which are bound to come out to delegation. They feel that their inability to deal with new problems will be exposed due to delegation. This fear acts as an obstacle to delegation.
- **It improves employee morale:** Delegation raises the morale of subordinates as they are given duties and supporting authority. They feel that they are responsible employees. The attitude and outlook of subordinates towards work assigned becomes more constructive.
- **It develops team spirit:** Due to delegation, effective communication develops between the superiors and subordinates. The subordinates are answerable to superiors and the superiors are responsible for the performance of subordinates. This brings better relations and team spirit among the superiors and subordinates
- **It maintains cordial relationships:** The superiors trust subordinates and give them necessary authority. The subordinates accept their accountability and this develops cordial superior-subordinate relationships.
- **It facilitates management development:** Delegation acts as a training ground for management development. It gives opportunity to subordinates to learn, to grow and to develop new qualities and skills. It builds up a reservoir of executives, which can be used as and when required. Delegation creates managers and not mere messengers.

The advantages of delegation will not be available easily and automatically. They will be available only when the process of delegation moves smoothly. Problems may develop, if the delegation is not introduced with proper planning and in proper spirit. For example, the authority given to subordinate is inadequate or the subordinate is not competent to discharge the responsibilities assigned or the superior fails to monitor the whole process of delegation effectively. In all such cases, the delegation will be ineffective and the expected advantages will not be available to the organisation and also to concerned parties.

### 2.5.6 Principles of Effective Delegation of Authority

Effective delegation of authority has the following principles:

- **Knowledge of Objectives:** Before delegating authority, the subordinates should be made to understand their duties and responsibilities. In addition, knowledge of objectives and policies of the enterprise should be provided to them. This will enable them to discharge their roles purposefully in the process of delegation.
- **Parity of Authority and Responsibility:** This principle of delegation suggests that when authority is delegated, it should be commensurate with the responsibility of the subordinate. In fact, the authority and responsibility should be made clear to the subordinate so that he will know what he is expected to do within the powers assigned to them. There should be proper balance/parity or co-existence between the authority and responsibility. A subordinate will not function efficiently, if authority given to him is inadequate. On the other hand, if the excess authority is given, he may misuse the same. For avoiding this, the subordinates who are assigned duties should be given necessary/adequate authority enables them to carry out their duties.

- **Unity of Command:** This principle of delegation suggests that everyone should have only one boss. A subordinate should get orders and instructions from one superior and should be made accountable to one superior only. This means 'no subordinate should be held accountable to more than one superior'. When a subordinate is asked to report to more than one boss, it leads to confusion and conflict. Unity of command also removes overlapping and duplication of work. In the absence of unity of command, there will be confusion and difficulty in fixing accountability.
- **The Scalar Principle:** The scalar principle of delegation maintains that there should be clear and direct lines of authority in the Organisation, running from the top to the bottom. The subordinate should know who delegates authority to him and to whom he should contact for matters beyond his authority. They (subordinates) should also know what is expected from them. This principle justifies establishment of the hierarchical structure within the organisation.
- **Clarity of Delegation:** The principle of clarity of delegation suggests that while delegating authority to subordinates, they should be made to understand the limits of authority so that they know the area of their operation and the extent of freedom of action available to them. Such clarity guides subordinates while performing their jobs.
- **Absoluteness of Responsibility:** This principle of delegation suggests that it is only the authority which is delegated and not the responsibility. The responsibility is absolute and remains with the superior. He cannot run away from the same even after delegation. Even when the manager delegates authority to his subordinate, he remains fully accountable to his superiors because responsibility cannot be divided between a superior and his subordinate. No superior can delegate responsibilities for the acts of his subordinates. He is responsible for the acts and omissions of his subordinates.
- **Use of Exception Principle:** This principle of delegation indicates that when authority is delegated, it is expected that the subordinate will exercise his own judgment and take decisions within the purview of his authority. He is to be given adequate freedom to operate within his authority even at the cost of mistakes. He should refer the problems to the top level management only when he is unable to take decisions. Unnecessary interference in the work of delegates should be avoided. This normal rule can be given up under exceptional circumstances. Here, the superior can interfere in the work of his subordinate and even withdraw the delegated duties and authority. The superior takes this decision under exceptional circumstances.
- **Completeness of Delegation:** This principle of delegation suggests that there should be completeness in the process of delegation. The process of delegation should be taken to its logical end. Otherwise, there will be confusion of authority and accountability.
- **Effective Communication Support System:** This principle suggests that there should be continuous flow of information between the superior and the subordinates with a view to furnishing relevant information to subordinate for decision-making. This helps him to take proper decisions and also to interpret properly the authority delegated to him. Delegation system may not work smoothly in the absence of effective communication between the superior and subordinates.
- **Reward for Effective Delegation:** This principle suggests that effective delegation and successful assumption of authority should be rewarded. This will facilitate fuller delegation and effective assumption of authority within the Organisation. Reward for effective delegation will provide favourable environmental climate for its fair introduction.

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**Self Assessment**

Fill in the blanks:

10. .... are encouraged to give their best at work when they have authority with responsibility.
11. The ..... principle of delegation maintains that there should be clear and direct lines of authority in the Organisation, running from the top to the bottom.

**2.6 Library Governance and Library Authority**

The library governance refers to the persons (or committees or departments etc.) who make up a body for the purpose of administering the library. The authority has the power or right to give orders or make decisions in the library.

**2.6.1 Library Governance**

The Library governance involves the following:

1. **University Library:** University library is based on the statutes and ordinances adopted by the governing body of a university. The statutes made in accordance with the policy enunciated by the university act would determine the status of the librarian in the general set up of the university and provide for its organization and administration.
2. **Public Library:** The public library law enacted by a state legislature forms the legal basis for the establishment, maintenance and governance of the public library. In India, the public libraries were formerly under the ministry of education but now it is under the ministry of culture.
3. **Special Library:** In a special library run by a company or industry, there may be no legal basis of library government. The library concerned may be their internal matter and the librarian may be at the mercy of the higher authorities of the concerned organization. There may be no prescribed rules, regulations, etc.

**2.6.2 Library Authority**

The word "authority" implies a person having the power to do something, the power being derived from his office or character or prestige. A person having power is authorized by a competent agency/authority to carry out a certain job. The purpose of granting authority is to allow him/her to perform some kind of service by means of administrative process.

1. **College Library:** In a college, the Board of Management is the authority and college librarian is directly answerable to the principal.
2. **University Library:** In Indian Universities, the Executive Council (EC) is the library authority. In actual practice, many powers are delegated by EC to the Vice Chancellor (VC). So, the librarian is directly answerable to the VC.
3. **Public Library:** In a public library, the Directorate of Library Services or Local or State Library Authority is the library authority or otherwise a library board might be the authority. The librarian is responsible to the board. In case of a public library, where there is library legislation, it is mentioned in the library act as to who will be the library authority. But when there is no library legislation then the Director of Library Services will be the library authority.

4. **Special Library:** The Board of Director or Board of Trustees of the parent body is the authority. The librarian is answerable to the Managing Director or some other senior officer and in practice the situation differs from library to library.

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*Task* Visit a state library and analyse the management system over there.

### Self Assessment

Fill in the blanks:

12. The ..... refers to the persons (or committees or departments etc.) who make up a body for the purpose of administering the library.
13. A person having ..... is authorized by a competent agency/authority to carry out a certain job.

### 2.7 Decentralization of Authority

Decentralisation of authority is another concept closely related to centralisation. The delegation of authority by an individual manager is closely related to organization's decentralisation of authority.

In decentralisation, only broad powers will be reserved at the top level. Such powers include power to plan, organise, direct and control and maximum powers will be delegated to the authority at the lower level.

Decentralisation is just opposite to centralisation. Under centralisation, authority is mostly concentrated at the top level management. Centralisation and decentralisation are mutually dependent. In a large Organisation, the process of centralisation and decentralisation co-exist and reinforce each other.

Decentralisation is a natural development when the Organisation grows large and complex. Here, centralisation of management is neither possible nor desirable. The only practical solution is to divide the Organisation into decision-making units and giving the powers to take routine types of decisions in regard to the functioning of those units. This is decentralisation in practice.

In decentralisation, systematic efforts are being made to delegate to the lowest levels all authority except that which can only be exercised at the central points. Decentralisation is delegation not from one individual to another but delegation to all units in an Organisation. A company is said to be highly decentralized, when the delegation is company-wide in all functions and divisions of the company and also for a wide range of authorities and responsibilities.

Decentralisation is different from centralisation as in centralisation, the decision making power is in the hands of one person only. We observe such centralisation in sole trading concerns. It is also noted that centralisation is one feature of traditional management in India while decentralisation is a normal practice under professional management.



*Notes* Decentralisation of authority means conscious/systematic effort to bring dispersal (spreading) of decision making power to the lower levels of the Organisation.

### 2.7.1 Definitions of Decentralisation

According to Henri Fayol, "Everything that goes to increase the importance of the subordinate's role is decentralisation; everything that goes to reduce it is centralisation."

According to Louis Allen, "decentralisation refers to the systematic effort to delegate to the lowest levels all authority except that which can only be exercised at central point."

This definition makes it clear that even in decentralisation; delegation to the lowest levels is not complete as the basic functions in the management process are centralized.

### 2.7.2 Advantages/Importance of Decentralization

1. **Decentralisation helps to improve the quality of decisions/decision-making at the top level management:** Decentralisation of authority among other executives at all levels in the Organisation relieves the top executive of the excessive burden saving his valuable time, which he can devote to more important and long-term problems. This is bound to improve the quality of his decisions regarding such problems.
2. **Decentralisation facilitates diversification of activities:** It is a matter of common experience that an Organisation with departmentation on the basis of products facilitates diversification of products or market even when the authority is centralized. Decentralisation takes this process a step further. Managers of semi-autonomous product divisions are able to utilise their skills and experienced judgment. This has a bearing on their products and the market. The enterprise also attains maximum possible growth. Decentralisation is beneficial when new product lines or new activities are introduced in an Organisation. Such policy creates self-sufficient units under overall co-ordination of top level management.
3. **Decentralisation encourages development of managerial personnel:** Most companies find lack of managerial talent as a limiting factor in their growth. A company cannot expand effectively beyond the scope and abilities of its managerial personnel. Capable managers, however, can be developed only by giving managerial jobs to suitable persons and delegating them the authority to make important decisions. Such wide exposure gives them opportunity to grow and to have self-development for higher positions. The more talented and capable persons will learn and improve and qualify themselves for higher managerial positions. Only a decentralized Organisation can offer such opportunities to future managers without involving additional expenditure. A decentralized Organisation also allows its managers adequate freedom to try new ideas, methods or techniques. In brief, decentralisation creates a team of competent managers at the disposal of the company.
4. **Decentralisation improves motivation:** Research conducted by social scientists has proved that the Organisation structure itself exercises some influence on the motivation of the people working within it. An Organisation structure which facilitates delegation, communication and participation also provides greater motivation to its managers for higher productivity. Decentralized Organisation structure is most favourable for raising the morale and motivation of subordinates which is visible through better work performance.
5. **Decentralisation makes decision-making quicker and better:** Since decisions do not have to be referred up through the hierarchy, quicker and better decisions at lower levels can be taken. Divisional heads are motivated to make such decisions that will create the maximum profit because they are held responsible for the effect of their decisions on profits. Thus decentralisation facilitates quick and result-oriented decisions by concerned persons.
6. **Decentralisation provides opportunity to learn by doing:** Decentralisation provides a positive climate where there is freedom to make decisions, freedom to use judgment and

freedom to act. It gives practical training to middle level managers and facilitates management development at the enterprise level.

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### 2.7.3 Limitations of Decentralization

Decentralization has the following limitations:

1. Decentralisation may lead to the problem of co-ordination at the level of an enterprise as the decision-making authority is not concentrated.
2. Decentralisation may lead to inconsistencies (i.e. absence of uniformity) at the Organisation level. For example, uniform policies or procedures may not be followed for the same type of work in different divisions.
3. Decentralisation is costly as it raises administrative expenses on account of requirement of trained personnel to accept authority at lower levels. Even the services of such highly paid manpower may not be utilised fully, particularly in small organisations.
4. Introduction of decentralisation may be difficult or may not be practicable in small concerns where product lines are not broad enough for the creation of autonomous units for administrative purposes.
5. Decentralisation creates special problems particularly when the enterprise is facing number of uncertainties or emergency situations. The decision-making process gets delayed and even correct decisions as per the changing situations may not be possible.

### Self Assessment

State whether the following statements are true or false:

14. Decentralisation helps to improve the quality of decisions/decision-making at the middle level management.
15. Decentralisation may lead to the problem of co-ordination at the level of an enterprise as the decision-making authority is not concentrated.



Case Study

#### Harvard's Library System to be Restructured

The university's sprawling yet intellectually extraordinary library system needs administrative, financial, and technological restructuring, according to an official Task Force on University Libraries. The traditionally decentralized system faces particular challenges in an environment that includes tighter budgets, shifting boundaries among academic disciplines, increased interdisciplinarity, and the destabilizing influence of the digital revolution.

The task force report makes five core recommendations: adoption of a shared administrative structure; improvement to information technology systems; changes to funding models and cost-sharing among the libraries, particularly with respect to offsite storage (45 per cent of the collection is held in a depository); enhanced coordination of materials collection and especially access; and increased collaboration with other institutions. The comprehensive report also calls for the immediate formation of an implementation group, whose members were named in an accompanying letter from the task force chair, University provost Steven E. Hyman.

Contd...

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**Questions**

1. Explain the needs administrative, financial, and technological restructuring of the University's Library System.
2. What challenges does the decentralized library system face?

Source: <http://harvardmagazine.com/2009/11/harvard-library-system-faces-restructuring>

## 2.8 Summary

- The exercise of authority is a constant and pervasive phenomenon in the human society. Human society maintains itself because of 'order' and it is the authority that serves as the foundation of social order.
- Authority is the right given to a superior to achieve the objectives of the library.
- Power is a broader concept than authority. Power is the ability of a person or a group to influence the beliefs and actions of other people. It is the ability to influence events.
- The library is a miniature social system that can prepare the young to shoulder responsibilities and help them to step into their adult roles.
- Line authority pertains to matters directly involving management system production, sales, finance etc., and as a result with the attainment of objectives.
- Staff authority enables those responsible for improving the effectiveness of line personnel to perform their required tasks.
- Delegation of authority is one vital organizational process. The process of allocation of office work among the subordinates is called delegation of authority.
- The library governance refers to the persons (or committees or departments etc.) who make up a body for the purpose of administering the library. The authority has the power or right to give orders or make decisions in the library.
- In a large Organisation, the process of centralisation and decentralisation co-exist and reinforce each other. Decentralisation is just opposite to centralization. Centralisation and decentralisation are mutually dependent.

## 2.9 Keywords

**Authority:** Authority is the power to manage the sub-ordinates to control them and to instruct them according to the rules norms and standards of the organization. Authority of managers helps to keep the sub-ordinates in obedience.

**Centralization:** Centralization is a situation in which decision-making power is at the top of an organization and there is little delegation of authority.

**Decentralization:** Decentralization refers to the systematic effort to delegate to the lowest levels all authority except that which can only be exercised at central point.

**Delegation of Authority:** Delegation of Authority means entrusting someone else to do parts of your job.

**Delegation:** Delegation means assigning of certain responsibilities along with the necessary authority by a superior to his subordinate managers.



**Empowerment:** A management practice of sharing information, rewards, and power with employees so that they can take initiative and make decisions to solve problems and improve service and performance.

**Line Authority:** Line authority power to give orders to subordinates. Line managers are responsible for attaining the organization's goals as efficiently as possible. Production and sales managers typically exercise line authority.

**Staff Authority:** Staff authority is the power to give advice, support, and service to line departments.

## 2.10 Review Questions

1. Explain the sources of formal authorities.
2. Discuss the difference between authority and power.
3. Explain the use of authority.
4. Explain the responsibility in authority.
5. Describe the line and staff authority.
6. Discuss the delegation of authority.
7. Explain the State and Local library authority.
8. Discuss the centralization and decentralization in authority.
9. What do you understand by the autonomous work teams?
10. List the principles of Delegation of Authority.

## **Answers: Self Assessment**

- |                         |                        |
|-------------------------|------------------------|
| 1. Legitimate           | 2. Supervisor          |
| 3. competence authority | 4. Power               |
| 5. downwards            | 6. Delegated           |
| 7. social               | 8. staff personnel     |
| 9. Staff                | 10. Subordinates       |
| 11. Scalar              | 12. library governance |
| 13. power               | 14. False              |
| 15. True                |                        |

## 2.11 Further Readings



Books

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## **Unit 3: Personnel Administration in Library**

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### **Objectives**

After studying this unit, you will be able to:

- Describe Personnel Administration
- Explain aims and objectives of Personnel Administration
- Understand the significance of Personnel Administration
- Discuss the purpose of Personnel management
- Define the functions of Personnel Administration
- Analyse Human Relations in Personnel Administration

### **Introduction**

The administration of staff in an organization is well-known as Personnel Administration. It is one of the most important factors in management of the human resources. Personnel Administration is subject to the following matters such as recruitment, selection, development, usage or allocation and provision of certain benefits and needs for human resource of the organization.

In this Unit, you will learn about the nature of Personnel Administration, its objectives and functions. Also you will get a clear understanding of Human Relations in Personnel Administration.

### **3.1 Personnel Administration**

#### **3.1.1 Definition of Personnel Administration**

Personnel administration can be defined as “the recruitment, selection, development, utilization of, and accommodation to human resources by organizations.” The human resources of an organization consist of all individuals engaged in any of the organization’s activities. Libraries employ not only large numbers of people, but also very diverse kinds of people. It is not unusual for sixty to eighty per cent of a library’s budget to be devoted to salaries. Thus effective personnel administration is critical to a library’s achieving its goals and objectives. In times of extreme financial constraint, the very survival of a library may be highly dependent upon the quality of personnel administration.

Personnel administration as practiced in libraries is of a very uneven nature. Size is often a controlling factor with the result that personnel officers or departments tend to be found only in medium and large-size libraries. Personnel functions for staff in special libraries, school libraries, and small academic libraries may be carried out by the personnel (now often termed “human resource”) offices of the parent organization. However, personnel administration is inherent in all organizations. It is an integral part of every administrative, managerial, and supervisory position. Techniques may help in specific instances, but the important consideration is the systematic overall approach to managing human resources.

Martin believes libraries have tended to rely on rather primitive methods of personnel administration and have lacked sophistication in the handling of newer techniques.



*Task* Visit a public library and study the Personnel Administration system of it. Make a report on it.

#### **3.1.2 Aims and Objectives of Personnel Administration**

The main aims and objectives of personnel administration are to:

- Utilize human resources effectively.
- Establish and maintain a productive and self-respecting relationship among all the members of the organization.
- Enable each person to make his maximum personal contribution to the effective working of the organization.
- Ensure maximum individual development of the personnel.
- Achieve an effective utilization of human resources (besides material resources) for the attainment of organizational goals.
- Establish and maintain an adequate organizational structure and a desirable working relationship among all the members of the organization by dividing organizational tasks into functions, positions job, authority and responsibility.
- Generate maximum group and individual development within the organization by offering opportunities for advancement to employees or by training and job education; by effecting transfers or by offering retraining facilities.

- Reduce friction amongst the employees by securing the integration of individuals and groups in such a manner that the employees feel a sense of involvement, commitment and loyalty to the organization. In the absence of such integration, friction may develop which will produce inefficiency and lead to failure.
- Reorganize and satisfy individual needs and group goals by offering adequate and equitable remuneration ,economic and social security so that the employees feel secure and work willingly and co-operate to achieve the organization's goals.
- Maintain high morale and better human relations inside the organization by sustaining and improving the conditions which have been established so that the employees may stick to their jobs for a longer period.

According to Michael J. Jucious, personnel management should aim at:

- Attaining economically and effectively the organizational goals;
- Serving to the highest possible degree the individual goals; and
- Preserving and advancing the general welfare of the community.

To obtain these objectives, personnel administration is concerned with planning, organizing, directing, coordinating and controlling the cooperative efforts of individuals within an organization.



*Task* If you were a personnel Administrator of your college library, then what would be your main objective. List down in five points.



*Caselet*

### Human Relations in Personnel Administration

In the Northern Hills Library it is customary to give monetary contributions to a colleague who has lost a parent. A memo is passed around announcing the death and voluntary contributions are collected. So when the father of one of the assistants, Miss Gan, died a certain amount of money was collected from the staff members, and was given to her. The librarian in his short note stated "Herewith are the contributions of the Library Staff on the death of your father".

In moments of great import to a person, the administrator should be careful in representing the sentiments of the staff so that the recipient would feel the concern of his colleagues. In this instance money appeared to be the most important thing when it is not, although it is a necessary thing. This is one of the little ways by which an administrator is evaluated by his staff without benefit of formal scale. It should have been a good occasion to show affection and concern; to make the bereaved feel that the whole library sympathizes with her, that she belonged to the group. The attitude of the recipient who may have felt that the leader does not care for the employee has been formed by the leadership climate or tone of the administration.

*Source:* <http://www.unesco.org/webworld/ramp/html/r8722e/r8722e0u.htm>

Notes

### 3.1.3 Significance of Personnel Administration

Personnel Administration plays a vital role in achieving the organisational goals and maximizing the productivity. Some of the significances of Personnel Administration are given as follows:

- Success of any administrative system depends on how effectively it handles its personnel functions.
- Out of three 'M's i.e. Men, Money and Material, men is the most important factor that determines the quantity and quality of the performance and output. With their requisite skills, aptitude, integrity and organizing capacity, they can build the image of their organizations or effective institutions in the nation building process.
- Personnel administration reduces the chasm between organizational objectives and the individual to the desirable extent by treating individuals at work in such a way that they will realise their maximum possible intrinsic abilities, to create an effective organization.
- Now organizations perform a large number of varied and complex tasks which requires efficient, effective, able and, competent personnel with the right aptitude and attitude.
- Investment in developing human resources through training, career development, planning, counselling, selection, job enrichment programs and designing suitable performance appraisals and reward system can go a long way in maintaining the morale and motivation of people at a high level.
- The role of personnel administration is witnessed in the form of various policies and programs adopted for these purposes.



*Notes* A personnel administrative specialist provides support to the staff of the personnel department by ensuring the department accomplishes assigned responsibilities on a daily basis.

### 3.1.4 Purpose of Personnel Management

In particular, personnel management is concerned with the development of policies governing:

- Manpower planning, recruitment, selection, placement and termination.
- Education and training, career development.
- Terms of employment, methods and standards of remunerations.
- Working conditions and employees services.
- Formal and informal communication and consultation both through the representatives of employers and employees and all levels throughout the organizations.
- Negotiation and application of agreements on wages and working conditions, procedures for the avoidance and settlement of disputes.

### 3.1.5 Functions of Personnel Administration

Personnel function is crucial in any administrative organization. The organization cannot afford to ignore it. Hence it becomes a basic responsibility of the management, be in the government or in semi or non-government organizations. The changes in the socio- economic environment have its effect on management. The management environment keeps changing due to the changes

that occur in the total socio-economic environment. The political environment also affects the work environment in an organization. Such changes get reflected in personnel administration. These changes can be:

- (i) changing mix of the personnel entering government service organization
- (ii) changing values of personnel
- (iii) increasing expectations of the government from their employees and
- (iv) increasing expectations of the people from the government at different levels.

Thus management is affected by the changes in the social, economic and political scenario. In fact it has to keep up with these changes. A higher number from schedule castes, tribes and other economically backward classes are joining the government service. A greater number of people with higher education, more women, and more technically skilled workers are also joining the government service. This has really changed the ratios of working force. With the proliferation of activities under development and welfare Programmes, the employees are now expected to be more competent and efficient. People at large expect the administration to be efficient, effective and sympathetic. People involvement in administrative activities is increasing. Due to the constant demands of administration, the role of personnel administration is also changing.

Personnel are required to perform line and staff functions. Activities directly related to the primary objective of an organization are called as line functions. The staff functions are those which facilitate and assist the performance of line work. They are in the nature of secondary activities and enhance the effectiveness of the line agencies. For example, assistance in processing and supplying the required number of personnel and training and development of personnel are essentially staff functions. An organization cannot function without the assistance of line and staff personnel. At the same time, personnel function cannot be isolated from the rest of the administrative functions. Personnel functions include both line and staff activities in an organization. Personnel administration does not always function in a formal organization. No organization can solely run on the basis of formal rules and regulations, it comprises human beings who are structured in an authority and responsibility network in order to carry out the tasks and activities for the fulfilment of organizational objectives. This formal structure is supplemented, supported or sometimes obstructed and on occasions taken over by the informal organization. Informal organization grows within the formal organization. It is a natural phenomenon and is based on social and cultural relations among the personnel of formal groups. Political, economic and psychological factors also contribute to the growth of informal organization. The functions of personnel administration are becoming more complicated day by day. The problems of personnel administration differ from one organization to the other. Big organizations have more tasks to perform; they employ more people and serve varied objectives. The task of personnel administration in such organizations becomes more intricate. As personnel administration deals with human beings all the time, the crucial functions of motivation and morale of employees have to be performed by it. It has to meet the growing needs of the people as well as satisfy the increasing expectations of its employees.

### Self Assessment

Fill in the blanks:

1. Activities directly related to the primary objective of an organization are called as .....
2. The ..... functions are those which facilitate and assist the performance of line work.

**Notes**

3. An organization cannot function without the assistance of line and staff .....
4. Personnel functions for staff in special libraries, school libraries, and small academic libraries may be carried out by the personnel offices of the ..... organization.
5. In times of extreme financial constraint, the very survival of a library may be highly dependent upon the quality of Personal .....
6. People involvement in ..... activities is increasing.
7. Out of three 'M's, ..... is the most important factor that determines the quantity and quality of the performance and output.

### **3.2 Human Relations in Personnel Administration**

Human relations in administration simply mean accomplishing the goals of the organization without friction. It presupposes knowledge of the goals and the needs of individuals belonging to the group. In a library set-up the official responsible for accomplishing the goals of the library revolves on the librarian and the personnel officer, if any. Usually in the Philippines setting, the librarian is the personnel officer at the same time.

To administer a small library is easier task than a big one because there are fewer people to know and deal with and there is more chance of knowing the people better in a small group. However, in bigger libraries there are division chiefs and section heads that will help the librarian in administration. On the choice, therefore, of these heads rests the success of the function of coordination and cooperation.

An administrator who can be democratic and fair, and who can meet the emotional needs of his staff will surely be a success. If he is democratic he will make rules in cooperation with the staff and will treat them as equals (1). He will not be judgemental (2) in his relations but rather helpful by seeing the other fellow's point of view. He will open all channels of communication freely. He will try to meet the emotional needs of his men by accepting each one as he really is; knowing his problems and ambitions he can coordinate them with the goals of the library; he provides affection by showing interest in everyone's welfare; and lastly he provides room for achievement. He sets a good example for them to follow.

As the leader of the organization the librarian sets the tone of the administration, whether it is democratic or authoritarian. He may formulate democratic rules but in practice he might deviate from them without his being aware of it. The littlest act, a word uttered at the wrong moment may give him away. The staff can feel his sincerity and fairness in many little ways. No matter how the best policies are written if the administrator deviates in his actions, the staff will always take note. They are most sensitive to faults.



*Did u know?* The overall library administration is the responsibility of the Librarian, Asian University of Bangladesh (AUB).

### **Self Assessment**

Fill in the blanks:

8. Usually in the Philippines setting, the ..... is the personnel officer at the same time.



9. Human relations in administration simply means accomplishing the goals of the organization without .....
10. As the leader of the organization the librarian sets the tone of the administration, whether it is democratic or .....

Notes



Case Study

### Library Administrators

Let's call this case of B, a Librarian I, working as assistant to Librarian III who in turn is under Librarian V, a stickler for proper procedures. Librarian III is a non-conformist who frankly disagrees with any one including Librarian V, a superior officer, when necessary. B is a very reserved girl, hardly able to make a dissenting opinion, usually quiet, hard-working and has gotten along well with fellow workers for three years. On the third year she became the girlfriend of a student assistant under her supervision.

Friction with a co-worker D ensued when the boyfriend would not allow B to go with D to places as they used to. One such friction occurred when a reader requested B and D to wait for her because her class will be dismissed at 5:00, the same time that the library closes and it will take some time to come down to the library. Both agreed to wait. At 5:00 the boyfriend came, hurrying B to go home because he said "She also needed rest". Due to repeated statements on the part of the boyfriend, D let B go ahead grudgingly. This was later patched up. As a matter of fact they ate a potluck lunch together. The very next day, however, B sent a letter addressed to Librarian V asking for transfer specifying that she cannot get along with her colleagues; her work is boring because she does nothing but charging and recording serials. She wrote: "Maximum amount of work and services can be accomplished in any unit of the library if there is harmony of the staff, if the treatment of subordinates by supervisor is equal and if work is properly distributed to everyone. Given these conditions, I believe that any library unit will be a place worth working in".

Librarian III found the letter on her desk and called B. She asked her why she had to write directly to Librarian V, a higher official, when communication channels were wide open with her immediate-supervisor. This is done only by people who are suppressed but she is not. Just three months ago she evaluated the Library and Librarian I with a grade of 1.17 and just a month ago she did not give any suggestion or hint in the staff meeting that she was unhappy in her job. Librarian III further explained to her that her public relations will suffer by doing this and so she was asked to sleep over it and give her decision the next day. She kept mum on the questions laid before her and just said she had decided the matter. She was even arrogant in the manner she answered her immediate superior, a trait quite foreign to her. Librarian III asked her to take all her time to write down why she thinks there is unequal distribution of work load, what unequal treatment she received under her, and why the library is not a place worth working in. All she could write about was merely her desire to be transferred. Nevertheless, Librarian III insisted that she sleep over it.

The next day B had the same decision and so Librarian III endorsed the letter with pertinent remarks.

Librarian V called Librarian III and B separately and after eight days rotated B to the Main Library to do mere charging work.

Contd...

**Notes**

Five or six months later, B got a P15-00 monthly increase. Librarian III suggested in a memo to Librarian V that the increase be retrieved and given to somebody more deserving, otherwise B might think she did right. The increase was not retrieved.

**Administrative Implications**

What administrative implications can be gathered from this case?

1. Relation of staff to immediate chief
  - a. Is it right for B to address the letter to Librarian V when communication channels are open?
  - b. Is it right for a subordinate to answer arrogantly his superior officer?
  - c. Is it right for a well-treated employee to complain without grounds?
  - d. Is it right for the student assistant to court his superior and for the superior to accept such attentions from a subordinate? If it is, to what extent could the student assistant have a say in the relationships with colleagues? If not should the complainant be given some punishment?
2. Relation of Chief to Supervisor
  - a. Is it proper for a subordinate to go direct to the highest official for alleged redress of grievance without exhausting remedies with her immediate supervisor?
  - b. Is it proper for the highest official to give due course to a subordinate's complaints without first referring her back to her immediate supervisor? In so doing is Librarian V not encouraging the staff to be conspirators?
3. Relation of staff to fellow staff
  - a. Is it bad for a colleague to warn a fellow staff member about the intentions of a suitor especially if he is a subordinate of the object of attention?
  - b. Is it right for a colleague to break bread with a fellow worker and then write a letter of complaint soon after the fellow worker has been made to think that everything is all right between them?
4. If a worker is bored is it right to transfer her to another library doing charging work? Will the change of place be enough to remove boredom? Would not doing just one kind of work be more boring?
5. Political and psychological implications
  - a. Is it possible that B became brave all of a sudden because somebody prompted her to do this?
  - b. If so, does the one prompting such a thing deserve dismissal or demotion? If this is not true, should not B be referred to a psychiatrist for a test in schizophrenic personality to avoid mental sickness?
6. In the paper presented by Mrs Guerrero, the following factors of good human relations are noted:
  - a. democratic
  - b. fairness
  - c. free communication

*Contd...*

Emotional needs to be met:

- a. acceptance
- b. affection
- c. achievement

#### Questions

1. Discuss the presence or absence of these factors and their bearing on good human relations in the case of B.
2. Another suggested activity for the workshop: writing case studies by delegates and compiling all these cases in book form for use by librarians.

Source: <http://www.unesco.org/webworld/ramp/html/r8722e/r8722e0u.htm>

### 3.3 Summary

- In this unit we familiarized ourselves with the meaning and nature of personnel administration.
- Personnel administration with its ever increasing responsibilities has become an indispensable part of management.
- There is a need for making personnel administration responsible for bringing about innovative changes in the structure of organization, undertaking personnel research and conducting attitude surveys.
- It is clear that no organization can afford to disregard the needs of its personnel. Every organization has to keep its personnel satisfied.
- Personnel are the means through which organizations develop. The evolution and growth of personnel administration was highlighted in this unit.
- The unit also discussed the human relations in personnel administration.

### 3.4 Keywords

**Administration:** Administration means management of the affairs of an organization, such as a business or institution.

**Human Relations:** Human relations in administration simply mean accomplishing the goals of the library without friction.

**Integration:** Integration means the bringing of people of different racial or ethnic groups into unrestricted and equal association, as in society or an organization.

**Line Functions:** Activities directly related to the primary objective of an organization are called as line functions.

**Personnel Administration:** Personnel administration can be defined as "the recruitment, selection, development, utilization of, and accommodation to human resources by organizations."

**Personnel:** Personnel mean a body of persons employed in an organization or place.

**Staff Functions:** The staff functions are those which facilitate and assist the performance of line work.

Notes

### 3.5 Review Questions

1. Describe Personnel Administration.
2. Explain aims and objectives of Personnel Administration.
3. Understand the significance of Personnel Administration.
4. Define line function.
5. What do you mean by Personnel Function?
6. Differentiate between line function and staff function.
7. Discuss the purpose of Personnel management.
8. Define functions of Personnel Administration.
9. Comment on the Human Relations in Personnel Administration.

### Answers: Self Assessment

- |                   |                   |
|-------------------|-------------------|
| 1. line functions | 2. Staff          |
| 3. Personnel      | 4. Parent         |
| 5. Administration | 6. Administrative |
| 7. Men            | 8. Librarian      |
| 9. Friction       | 10. authoritarian |

### 3.6 Further Readings



*Books*

C.K. Sharma, Kiran Singh. 01-Jan-2005. *Library Management (Vol 1)*, Atlantic Publishers & Distributors.

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## Unit 4: Job Analysis and Evaluation

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### Objectives

After studying this unit, you will be able to:

- Describe Job Analysis
- Explain the methods of Job Analysis
- Analyse the practical problems with Job Analysis
- Explain the principles of Job Evaluation
- Discuss the job evaluation process and methods

**Notes**

- Gain knowledge about the Compensable Factors
- Describe the Job Evaluation Factors

## **Introduction**

Job Analysis is the process of producing a Job Description based on which employees carry out their allotted duties. The latter is then evaluated through a job evaluation process to produce a grade/salary. This process has a number of advantages for both employer and employee. Job evaluation is a formal process for determining the relative value of jobs based on job content, with emphasis on such factors as skill, effort, responsibility and working conditions. The process of job analysis and evaluation will involve one or more people depending on a variety of factors.

### **4.1 Job Analysis**

A job is the smallest unit of a planned network of activities. Job is piece of work or may be pieces of work to be done by an individual which lead to a result and becomes part of an activity. It is assigned to a particular person to be done at a particular time.

Job analysis is the process of investigating and analysing the functions in a work assignment or group of assignment. The resulting facts aids in determining the relation between the condition and requirement of the work and the individual who must do it. The job analysis is a technique for investigating general work assignment or jobs.

Job analysis finds out which is to be done and determine the best method of doing it and the qualification required by a worker to be able to do the job satisfactorily.

The data on the jobs can be collected from the concerned employees, their supervisors and professional job analysts. The job data are obtained from the employees through questionnaires, interview, discussion and observation. The data should include the specific activities, responsibilities, special information needed by the employee, how the work is to be performed, the required working condition and physical demand.

“Work analysis forms the very foundations on which personnel administration rests and on which effective selection depends.” In case of a library, job analysis is the special responsibility of the librarian. Job analysis helps to understand the step-by-step procedure of each operation, time required for each job, professional skill and experience needed for each job and the workflow in the library. If there is any bottleneck, it can be identified, located and rectified. It also helps to understand and fix up the academic qualifications, professional training and expertise for creation of posts and selection of persons for appointment. Thus with the help of job analysis, the librarian can help the authority in the recruitment of right person in the right post.

- (a) **Purposes of Job Analysis:** The purposes of job analysis are to:
- (i) Determine the task that comprises the job;
  - (ii) Determine the abilities, skill, knowledge and kind of experience required for carrying out the job;
  - (iii) Get maximum library effectiveness;
- (b) **Advantages of Job Analysis:** The advantages of job analysis are:
- (i) Job analysis helps to understand the step by step procedure of each operation; time required for each job and thereby helps to know the work flow in a library.

- (ii) Job analysis defines labour needs in concern term.
- (iii) Job analysis spells out the types of workers required for each job i.e. academic qualification, professional skill and experience needed for each job.
- (iv) It specifies the duties and responsibilities implied in each job.
- (v) It provides guidelines for providing facilities for education and training of right type of personnel for each type of business or industry, etc.
- (vi) It provides a scientific base for fixing wages and salaries of various types of jobs and employees because it takes into account the mental and physical skill, efforts and risks involved in each type of job.
- (vii) It assists in library planning and provides coordination.
- (viii) It helps experimenting modern devices like time and motion studies, Program Evaluation and Review Technique (PERT) and operation research which are instrumental in increasing overall efficiency and productivity.

There are two outcomes of job analysis: (1) Job description and (2) Job specification.

The information collected under job analysis is:

- Nature of jobs required in a concern.
- Nature/size of library structure.
- Type of people required to fit that structure.
- The relationship of the job with other jobs in the concern.
- Kind of qualifications and academic background required for jobs.
- Provision of physical condition to support the activities of the concern. For example, separate cabins for managers, special cabins for the supervisors, healthy condition for workers, and adequate store room for store keeper.

#### 4.1.1 Job Description

Job Description is an organized factual statement of job contents in the form of duties and responsibilities of a specific job. The preparation of job description is very important before a vacancy is advertised. It tells in brief the nature and type of job. This type of document is descriptive in nature and it constitutes all those facts which are related to a job such as:

- Title/Designation of job and location in the concern.
- The nature of duties and operations to be performed in that job.
- The nature of authority – responsibility relationships.
- Necessary qualifications that is required for job.
- Relationship of that job with other jobs in a concern.
- The provision of physical and working condition or the work environment required in performance of that job.

Notes

### Advantages of Job Description

It consists the following advantages:

- It helps the supervisors in assigning work to the subordinates so that he can guide and monitor their performances.
- It helps in recruitment and selection procedures.
- It assists in manpower planning.
- It is also helpful in performance appraisal.
- It is helpful in job evaluation in order to decide about rate of remuneration for a specific job.
- It also helps in chalking out training and development programmes.



*Task* Write a Job Description for the job of a library accountant.

### 4.1.2 Job Specification

Job Specification is a statement which tells us minimum acceptable human qualities which helps to perform a job. Job specification translates the job description into human qualifications so that a job can be performed in a better manner. Job specification helps in hiring an appropriate person for an appropriate position. The contents are:

- Job title and designation
- Educational qualifications for that title
- Physical and other related attributes
- Physique and mental health
- Special attributes and abilities
- Maturity and dependability
- Relationship of that job with other jobs in a concern.

### Advantages of Job Specification

It consists the following advantages:

- It is helpful in preliminary screening in the selection procedure.
- It helps in giving due justification to each job.
- It also helps in designing training and development programmes.
- It helps the supervisors for counselling and monitoring performance of employees.
- It helps in job evaluation.
- It helps the management to take decisions regarding promotion, transfers and giving extra benefits to the employees.

From the above advantages, we can justify the importance of job analysis and it's related products. Both job description as well as job specification is important for personnel manager in personnel



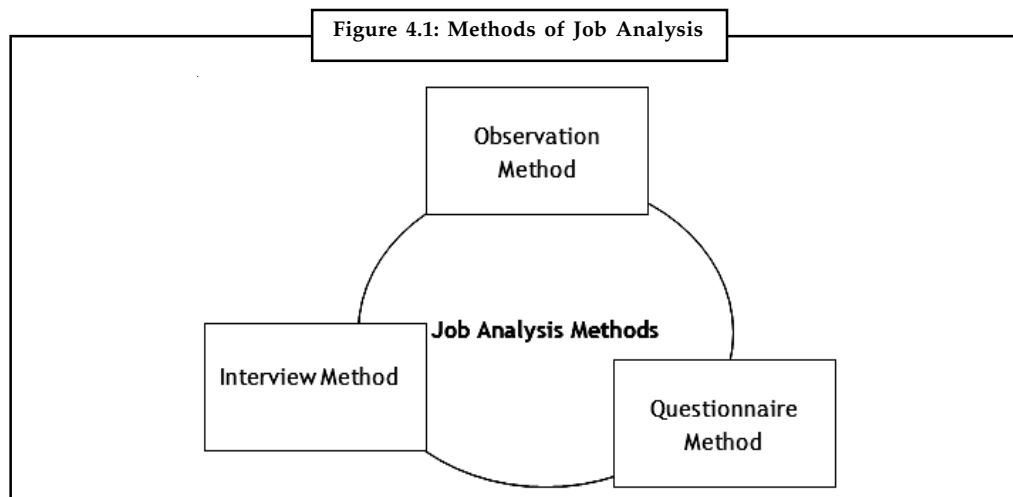
management function. Therefore, job analysis is considered to be the primary tool of personnel management.

### 4.1.3 Methods of Job Analysis

Though there are several methods of collecting job analysis information yet choosing the one or a combination of more than one method depends upon the needs and requirements of library and the objectives of the job analysis process. Typically, all the methods focus on collecting the basic job-related information but when used in combination may bring out the hidden or overlooked information and prove to be great tools for creating a perfect job-candidate fit.

Selecting an appropriate job analysis method depends on the structure of the library, hierarchical levels, nature of job and responsibilities and duties involved in it. So, before executing any method, all advantages and disadvantages should be analysed because the data collected through this process serves a great deal and helps libraries cope with current market trends, library changes, high attrition rate and many other day-to-day problems.

Let's discuss few of job analysis methods that are commonly used by the libraries to investigate the demands of a specific job.



Source: <http://www.managementstudyguide.com/job-analysis-methods.htm>

Most common methods of job analysis are discussed below:

#### Observation Method

A job analyst observes an employee and records all his performed and non-performed task, fulfilled and un-fulfilled responsibilities and duties, methods, ways and skills used by him or her to perform various duties and his or her mental or emotional ability to handle challenges and risks. However, it seems one of the easiest methods to analyse a specific job but truth is that it is the most difficult one. Why? Let's Discover.

It is due to the fact that every person has his own way of observing things. Different people think different and interpret the findings in different ways. Therefore, the process may involve personal biasness or likes and dislikes and may not produce genuine results. This error can be avoided by proper training of job analyst or whoever will be conducting the job analysis process.

This particular method includes three techniques: Direct Observation, Work Methods Analysis and Critical Incident Technique. The first method includes direct observation and recording of

**Notes**

behaviour of an employee in different situations. The second involves the study of time and motion and is specially used for assembly-line or factory workers. The third one is about identifying the work behaviours that result in performance.

**Interview Method**

In this method, an employee is interviewed so that he or she comes up with their own working styles, problems faced by them, use of particular skills and techniques while performing their job and insecurities and fears about their careers.

This method helps interviewer know what exactly an employee thinks about his or her own job and responsibilities involved in it. It involves analysis of job by employee himself. In order to generate honest and true feedback or collect genuine data, questions asked during the interview should be carefully decided. And to avoid errors, it is always good to interview more than one individual to get a pool of responses. Then it can be generalized and used for the whole group.

**Questionnaire Method**

Another commonly used job analysis method is getting the questionnaires filled from employees, their superiors and managers. However, this method also suffers from personal biasness. A great care should be taken while framing questions for different grades of employees.

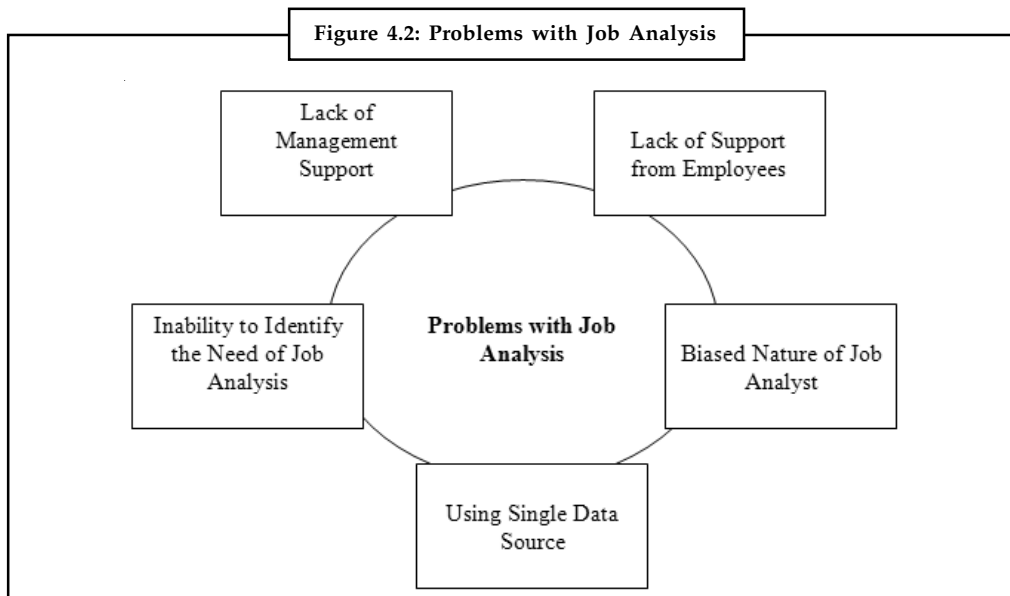
In order to get the true job-related info, management should effectively communicate it to the staff that data collected will be used for their own good. It is very important to ensure them that it won't be used against them in anyway. If it is not done properly, it will be a sheer wastage of time, money and human resources.

These are some of the most common methods of job analysis. However, there are several other specialized methods including task inventory, job element method, competency profiling, technical conference, threshold traits analysis system and a combination of these methods. While choosing a method, HR managers need to consider time, cost and human efforts included in conducting the process.

**4.1.4 Practical Problems with Job Analysis**

No process can be entirely accurate and fully serves the purpose. Job analysis is no exception to it. The process involves a variety of methods, tools, plans and a lot of human effort. And where there people are involved, nothing can be 100 per cent accurate. However, they may be appropriate considering various factors including library requirements, time, effort and financial resources. Since the entire job analysis processes, methods and tools are designed by humans only, they tend to have practical issues associated with them. Human brain suffers with some limitations, therefore, everything created, designed or developed by humans too have some or other constraints.

Coming back to the subject, even the process of job analysis have lot of practical problems associated with it. Though the process can be effective, appropriate, practical, efficient and focused but it can be costly, time consuming and disruptive for employees at the same time. It is because there are some typical problems that are encountered by a job analyst while carrying out the process. Let's discuss them and understand how the process of job analysis can be made more effective by treating them carefully.



Source: <http://www.managementstudyguide.com/job-analysis-problems.htm>

- **Lack of Management Support:** The biggest problem arises when a job analyst does not get proper support from the management. The top management needs to communicate it to the middle level managers and employees to enhance the output or productivity of the process. In case of improper communication, employees may take it in a wrong sense and start looking out for other available options. They may have a notion that this is being carried out to fire them or take any action against them.



**Caution** In order to avoid such circumstances, top management must effectively communicate the right message to their incumbents.

- **Lack of Co-operation from Employees:** If we talk about collecting authentic and accurate job-data, it is almost impossible to get real and genuine data without the support of employees. If they are not ready to co-operate, it is a sheer wastage of time, money and human effort to conduct job analysis process. The need is to take the workers in confidence and communicating that it is being done to solve their problems only.
- **Inability to Identify the Need of Job Analysis:** If the objectives and needs of job analysis process are not properly identified, the whole exercise of investigation and carrying out research is futile.



**Notes** Managers must decide in advance why this process is being carried out, what its objectives are and what is to be done with the collected and recorded data.

- **Biasness of Job Analyst:** A balanced and unbiased approach is a necessity while carrying out the process of job analysis. To get real and genuine data, a job analyst must be impartial in his or her approach. If it can't be avoided, it is better to outsource the process or hire a professional job analyst.
- **Using Single Data Source:** A job analyst needs to consider more than one source of data in order to collect true information. Collecting data from a single source may result in

**Notes**

inaccuracy and it therefore, defeats the whole purpose of conducting the job analysis process.

However, this is not the end. There may be many other problems involved in a job analysis process such as insufficient time and resources, distortion from incumbent, lack of proper communication, improper questionnaires and other forms, absence of verification and review of job analysis process and lack of reward or recognition for providing genuine and quality information.

**Self Assessment**

Fill in the blanks:

1. .... is an organized factual statement of job contents in the form of duties and responsibilities of a specific job.
2. .... is a statement which tells us minimum acceptable human qualities which helps to perform a job.



*Caselet*

**What Library Managers Need to Know?**

Typical requirements are:

**Education**

The requirements for a librarian position can span the range below:

- Four-year undergraduate degree in any field
- Master of Library Science degree (MLS)
- MLS degree from an American Library Association (ALA)-accredited school
- ALA-accredited MLS degree plus a teaching certificate (often the case in school libraries) or an ALA-accredited MLS plus a second master’s degree, e.g., a law degree

**Skills**

- Desire to meet and serve the library’s user community
- Ability to think analytically and to develop new or revised systems, procedures, and work flow
- Ability to exercise initiative and independent judgment
- Knowledge of computers, the internet, and commercially available library software
- Ability to prepare comprehensive reports and present ideas clearly and concisely in written and oral form
- Ability to make administrative decisions, interpret policies, and supervise staff
- Ability to motivate, establish and maintain effective working relationships with associates, supervisors, volunteers, other community agencies and the public
- Knowledge of the philosophy and techniques of library service
- Ability to organize job duties and work independently

*Contd...*

- Demonstrated knowledge of library materials and resources
- Creativity to develop and implement library programs and services
- Ability to communicate both orally and in writing
- Employs management techniques effectively in directing, planning, organizing, staffing, coordinating, budgeting, and evaluating the library's operation

#### Experience

- Typically four to ten years of experience as a librarian, although will vary greatly by size of library and responsibilities of the job
- A couple of years of supervisory experience
- Demonstrated interest in professional development through attending workshops and conferences

#### Career Path

- Library managers who excel in their area of work may make excellent candidates for a library director, with the realization that it can be a very different, outward-focused position from even a deputy or assistant director.

#### Finding a Job

- Library manager positions span a wide range in terms of how they are posted. If there are several strong internal candidates, the position may only be posted in the library. At the other extreme, a consulting firm or "head hunter" may be hired to conduct a search on a national basis. Jobs at this level are often posted in library publications, such as *American Libraries*, *Library Journal*, *Library Hotline*, and electronically on library electronic discussion lists, library websites, library cooperative websites, and state association websites.

Source: <http://www.ala.org/educationcareers/careers/librarycareersite/whatyouneedlibrarymgr>

## 4.2 Job Evaluation

Job evaluation as evident from the word itself aims at evaluating the job and not the person. It is a process of evaluating and determining the value of the job for a library. The evaluation is always in relative and not absolute terms. The idea is evaluate a certain job against other jobs in the library so that a fair compensation system against various bands or levels can be established.

Libraries use various ways to evaluate jobs for arriving upon a compensation scheme. They vary with the size of the library and the kind of industry they operate in. Job ranking, pair comparison and benchmarking are the various ways of evaluation.

The simpler or the easiest to perform is the job ranking method. In this method the jobs are taken as a whole and ranked against each other. The jobs are ordered according to perceived seniority. Such method is easier to apply in a small library but gets complicated once used for large corporations.

The other method is the pair comparison method where jobs are compared in pairs. It is more structured approach to comparing jobs. Yet another method is benchmarking where certain jobs are slotted and then examined in detail. These are then used as benchmarks in evaluating various jobs.

In addition Point Factor Analysis is also used to evaluate various jobs. The method is an old and tested one. In this method jobs are broken down into various factors such as skills required,

Notes

experience, education required. A set of questions is framed against each factor and the response determines the score. Each factor is allotted a certain weight.

#### 4.2.1 Principles of Job Evaluation

- **Definition:** Jobs must be clearly defined such that they are identifiable and easily distinguishable. These jobs must then be part of the job description.
- **Evaluation:** A job evaluation scheme must be arrived upon and used as a standard and all jobs in the library must be evaluated as per that scheme only.
- **Job Understanding:** Job evaluators need to have deep insights into the job design process. They must have a methodical understanding of various tasks involved.
- **Concern:** Job evaluation must be concerned with the job and not with the person. i.e. it is the job that has to be evaluated and not the person.
- **Assessment:** The assessment has to be carried out in an acceptable manner and by competent people. Further, it is based on judgement and is not scientific but can however be used to make objective judgements if used correctly.

With libraries changing continuously in every sphere of operations, be it the way they conduct their business, the way they hire and manage people, there is a huge change in the processes that drive this change. Job evaluation and its technique are not immune to it. The techniques are changing very fast. There are libraries still that stick to existing schemes of job evaluation. Evaluations based upon old existent standards are time consuming in many cases. Libraries do not want to spend time on writing new jobs and making evaluations afresh. Those that do this may need to rethink.

#### 4.2.2 Advantages of Job Evaluation

Job Evaluation is a process which is helpful even for framing compensation plans by the personnel manager. Job evaluation as a process is advantageous to a company in many ways:

- **Reduction in inequalities in salary structure:** It is found that people and their motivation are dependent upon how well they are being paid. Therefore the main objective of job evaluation is to have external and internal consistency in salary structure so that inequalities in salaries are reduced.
- **Specialization:** Because of division of labour and thereby specialization, a large number of enterprises have got hundred jobs and many employees to perform them. Therefore, an attempt should be made to define a job and thereby fix salaries for it. This is possible only through job evaluation.
- **Helps in selection of employees:** The job evaluation information can be helpful at the time of selection of candidates. The factors that are determined for job evaluation can be taken into account while selecting the employees.
- **Harmonious relationship between employees and manager:** Through job evaluation, harmonious and congenial relations can be maintained between employees and management, so that all kinds of salaries controversies can be minimized.
- **Standardization:** The process of determining the salary differentials for different jobs become standardized through job evaluation. This helps in bringing uniformity into salary structure.

- **Relevance of new jobs:** Through job evaluation, one can understand the relative value of new jobs in a concern.

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According to Kimball and Kimball, "Job evaluation represents an effort to determine the relative value of every job in a plant and to determine what the fair basic wage for such a job should be."

Thus, job evaluation is different from performance appraisal. In job evaluation, worth of a job is calculated while in performance appraisal, the worth of employee is rated.



*Notes* Job evaluation is a process of determining the relative worth of a job.

## Self Assessment

Fill in the blanks:

3. Job Evaluation is a process which is helpful even for framing ..... plans by the personnel manager.
4. In ..... method, the jobs are taken as a whole and ranked against each other.
5. In ..... method, the jobs are compared in pairs.
6. .... helps in bringing uniformity into salary structure.

## 4.3 Job Evaluation Methods

### 4.3.1 Quantitative Methods of Job Evaluation

#### Factor Comparison Method

This method is a combination of the ranking and point system. Thomas E. Hitten was the first to originate factor comparison method of job evaluation. As originally developed this method involves ranking of jobs in respect of certain factors and usually involves the assigning of money wages to the job depending upon the ranking. This is more systematic and scientific method. Under this method, jobs are evaluated by some standards. In this method, instead of ranking complete jobs, each job is ranked according to series of factors. All jobs are compared to each other for the purpose of determining their relative importance by selecting four or five major job elements which are more common or less common to all jobs. These elements are not pre-determined. These are chosen on the basis of job analysis. The five factors which are commonly used are

- (i) Mental requirement
- (ii) Skill
- (iii) Physical requirement
- (iv) Responsibilities and
- (v) Working conditions.

The number of factors may be more than five. Pay will be assigned in this method by comparing the weights of the factor required for each job, i.e., the present wages paid for key jobs may be divided among the factors weighted by importance. So the wages are assigned to the job in comparison to its ranking on each job factor.

**Notes**

The major steps in this system consist of the following:

- (i) **Selection of factors:** They may be skill, mental and educational requirements, physical requirements and responsibility, working conditions. The persons writing job specifications are generally provided with a set of dimensions within which they have to perform this important work.
- (ii) **Selection of key jobs:** Key jobs serve as a standard against which all other jobs are compared. Generally a key job is one whose contents has become stabilized over a period of time and whose wage rate is considered to satisfactory and acceptable by the management and union. The key jobs should be a good sample representing the entire range. It is suggested that 15 to 20 jobs should be picked. All of these should be clearly describable and capable of analysis in terms of factors.
- (iii) **Ranking of Key jobs:** Rank the selected jobs under each factor (by each and every member of the job evaluation committee) independently. Ranking is made individually and then a meeting is held to develop a consensus.
- (iv) **Assign money value:** Money value is assigned to each factor so as to determine the wage rate for each key job. The basic pay for each 'key' job is allocated to each factor. This should reflect a range from the lowest to the highest.
- (v) **Comparing all jobs with key jobs:** All other jobs are compared with the list of key jobs. This is done to know their relative importance and position in the scale of jobs.

An illustration of how the factor comparison method works is given below:

Job	Skill	Mental Requirement	Physical Requirements	Responsibility Requirements	Working Conditions
Toolmaker	1	1	2	1	4
Mechanist	2	2	3	2	3
Electrician	3	3	4	3	5
Assembler	4	4	5	5	2
Janitor	5	5	1	4	1

Source: <http://www.whatishumanresource.com/Quantitative-methods-of-job-evaluation>



*Example:* If tool making is a benchmark job and its wage rate is 20 money units; it may be decided to assign nine of these to skill, five to mental requirements, two to physical requirements, three to responsibility and one to working conditions. Similarly, if the wage rate for another benchmark job. For example that of a machinist, amounts to 18 money units, eight of these may be allotted to skill, three to working conditions and so on.

**Advantages**

- Factor comparison method permits a more systematic comparison of jobs than the non-analytical methods. It is a systematic, quantifiable method for which detailed step by step instructions are available.
- The system results in more accurate job evaluation as it is more objective because weights are not selected arbitrarily.



- It is flexible as it has no upper limit on rating that a job may receive on a factor.
- The reliability and validity of the system are greater than the same statistical measures obtained from group standardised job analysis plans.
- The procedure of rating new jobs by comparing with other standards or key job is logical and not too difficult to accomplish.
- It utilizes few factors and thereby reduces the likelihood of overlapping.
- It is a scheme that in corporate money value, determination of wage rates is automatic.

### Disadvantages

- This method is comparatively complicated to apply and it is difficult to explain to workers.
- It is costly to install, and somewhat difficult to operate for anyone who is not acquainted with the general nature of job-evaluation techniques.
- The use of present wages for the key jobs may initially create errors into the plan. The contents and the value of these jobs may change over a period of time and they will lead to future errors.
- It goes against the common belief that the procedure of evaluating jobs and fixing their wages should be kept separate.
- The use of five factors is a growth of the technique developed by its libraries. And using the same five factors for all libraries and for all jobs in a library may not always be appropriate.
- It is a very expensive method/system of job evaluation because experts have to be appointed particularly in selecting weights which are based in actual analysis.



*Did u know?* Factor Comparison is a set of compensable factors are identified as determining the worth of jobs.

### Point Rating Method

This is the most widely used method for job evaluation. It along with factor comparison method, involves a more detailed, quantitative and analytical approach to the measurement of job worth. This method is widely used currently. In this method jobs are expressed in terms of key factors. Then various points are assigned to each factor in order of their importance. Then points are summed up to determine the wage rate for the job. Jobs with similar point totals are placed in similar pay grades. The point rating procedure has to clearly define from very start. By and large, its steps fall into two distinct stages, namely preparing and evaluation plan and schedule (by defining and weighting factors) and grading jobs by reference to this schedule. This involves the following steps:

- Listing of Jobs:** The jobs have to be determined first which are to be evaluated. They are usually clustered. This should cover all the categories of jobs: skilled, unskilled, semi-skilled, professional, executives, etc.
- Selecting and defining factors:** Identify the factors common to all the identified jobs such as skill, effort, responsibility, job conditions etc. There should be sufficient number of factors to evaluate all aspects of the jobs. The number of factors will depend upon the nature of the jobs.

**Notes**

- (iii) *Dividing the factors into degree:* Once the factors are selected they must be divided into degrees to make them operational. The point method generally uses from four to six degrees for each factor. It is advisable to an even number of degrees in the development of point method and the same number of degrees should be used for each factor in order to maintain consistency in the job evaluation plan.
- (iv) *Weighting the factors:* The relative importance of each factor selected has to be determined. In other words, the factors must be weighted. There is no scientific or readymade method for weighting factors. It is generally done pragmatically and will depend upon the knowledge of the work of the enterprise. Weighting will also depend on the firm's objectives and policies.
- (v) *Allocations points to each degree:* Once the relative importance of the factors has been determined in a preliminary way and the factors suitably divided into degrees, each degree must be assigned a numerical value. These are the values that will be used in determining the total point values of jobs.
- (vi) *Evaluation of Jobs:* Once the factor plan is adopted, it is usual to prepare an evaluation hand-book explaining the procedure to be followed and summarising all the elements required for evaluation.
- (vii) *Assign money value points:* For this purpose points are added to give the total value of a job; its value is then translated into terms of money with a pre-determined formula.

***Advantages***

- The point method is a superior and widely used method of evaluating jobs. It gives us a numerical basis for wage differentials. By analysing a job by factors it is usually possible to obtain a high measure of agreements on job value.
- Once the scales are developed, they can be used for a long time.
- It accounts for differences in wage rates for various jobs on the strength of job factors. Jobs may change over time, but the rating scale established under the point method remains unaffected.
- It has the ability of handling a large number of jobs and enjoys stability as long as the factor remains relevant.

***Disadvantages***

- This method is a costly affair. The development and installation of the system calls of heavy expenditure.
- This is a complex method. Adoption of the whole procedure is a very difficult and time-consuming process.
- There may be wide fluctuations in the compensable factors with the change in technology, values of employees, etc.
- Employees, trade union representatives, management and other interest parties may perceive differently in selecting a compensable factors, in giving weightage etc.

### 4.3.2 Qualitative Methods of Job Evaluation

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#### Job Ranking Method

This is the oldest and simplest method of job evaluation. This is generally used in smaller units where the job raters know all the jobs quite well. In this method no effort is made to break a job down into its elements or factors, but the aim is to rather judge the job as a whole and determine the relative value by ranking one whole job against another whole job. In this technique ranking is done according to 'whole job' rather than a number of compensable efforts.

In a committee constituted of several executives' studies job descriptions. Then jobs are arranged from highest to lowest, in order of their value or merit to the library. Jobs also can be arranged according to the relative difficulty in performing them. So jobs are ranked in order of importance beginning with the most important to the least important jobs in the library. Job at the top of the list has the highest value and obviously the job at the bottom of the list will have the lowest value. This procedure is followed for jobs in each department and an attempt is then made to equate or compare jobs at various levels among the several departments. When this is completed, grade levels are defined and salary groups are formed. Jobs are placed into different salary ranges more or less on a predominated basis in their rank order.

An expert committee consisting of well-informed executives may, in relatively short time, rank several hundred jobs in various departments. In most of the instances, the ranking are not only based on job descriptions but on the raters' general knowledge of the position.

According to this method, Table 4.2 is a hypothetical example of ranking of jobs having done the above ranking, additional jobs between already ranked may be assigned on appropriate place. This method might serve the purposes of a small library with easily defined jobs but would probably be most unsuitable for a large company with a complex library structure.

#### Advantages

- **Simple:** The system is quite simple. A company does not face any difficulty in installing this system.
- **Easy:** As the workers understand the process there is no problem in administering this system.
- **Less time:** Less time is taken in evaluating the jobs.
- **Suitable for smaller concern:** This system is suitable for smaller library where the rates are fully acquainted with all the existing jobs in the enterprise.

#### Disadvantages

- **No scientific approach:** As there is no standard for an analysis of the whole job position, different bases of comparison may occur. Importance of the job may be arbitrarily ranked resulting in differences in similar jobs and may be resented by the employees.
- **No fair judgement:** This method decides the ranks of the jobs on the basis of their importance but does not tell the reasons. So ranks judgements are subjective and the fairness of the judgement cannot be advocated.
- **Difficult for large library:** In a complex industrial library, it is not possible to be familiar with all the jobs and thus general description will not enable correct assessment of the relative importance of the jobs.

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**Job Classification or Grading Method**

This method is one step further in the first method. This is similar to ranking method because in both methods neither points nor money values are assigned to classify the jobs. No complicated procedures are followed. It was evolved as an improvement over the ranking method. Job descriptions and job specifications are widely used in it. The committee of executives goes through each job description and carefully weights it in the light of certain factors like skill, responsibilities, experience and type of work etc.

The classification job evaluation system is based on pre-established general definitions of the kind of work that would be found at each level, grade or class in a library. Each job is reviewed, evaluated and placed into a class or grade. The classification job evaluation system is most commonly found in the public sector and heavily unionized industries.



*Caution* It is almost as difficult to keep a first class person in a fourth class job, as it is to keep a fourth class person in a first class job.

Separate classes may include office, clerical, managerial, personnel etc. In this way, it assigns each job to a particular grade or class. For each grade or class, there are different rates of wage.

Following table is a brief description of such a classification in an office:

**Table 4.2: Classification of Jobs in an Office**

Grade	Description of Job-Classification
1. Grade Unskilled	This generally covers the jobs of clerical nature, which requires accuracy, reliability etc. So special training is required.
2. Grade Skilled	This also covers the job with the nature of clerical work. But under this personnel require training programmes. This may include: draftsman, ledger man, laboratory assistant etc.
3. Grade Interpretative	This requires a special skill to perform the jobs. These may be of clerical or non-clerical nature. This includes: foremans, layout draftsman etc. This is also of non-supervisory nature.
4. Grade Creative	This involves a high degree of creativity and special knowledge. This covers engineers, salesman, staff supervisor, designers etc.
5. Grade Executive	This is related to the supervisory and creative jobs category. This generally covers the managers of all different departments.
6. Grade Administrative	This is related with a little bit policy formulation and implementation. They have to work with great sense of responsibility. This may include: division manager, district sales managers, works engineers and treasurer etc.
7. Grade Policy	Their position is of the top in a concern. They have to formulate the policies of a company. This cover the top management posts like directors, managers etc.

Source: <http://www.whatishumanresource.com/Qualitative—methods-of-job-evaluation>

**Advantages**

- **Easy to understand:** The installation of this system is also comparatively easy as there does not arise any difficulty in explaining the system to the employees. It is simple to operate and understand, as it does not take much time or require technical help.

- **Accurate:** Under this, it is possible to evaluate more accurately the job descriptions since the analysis is based on job descriptions.
- **Acceptable wage-criteria:** This also helps to create an effective wage rate. As grouping of jobs into classification makes pay determination problems administratively easier to handle.
- **New jobs adjustment and their ranking:** If a new job is to be introduced in a company, it is easy to associate it with a class or grade which is comparatively a less difficult task.
- **Suitability:** It is most suitable to the government departments. It is rarely applied in the industrial groups.

### Disadvantages

- This is also a subjective method. Since personal evaluations by executives establish the major classes and decide into which grade each job shall be placed.
- This system is not suitable for a large scale company. The jobs are classified by total contents and by a factor that comprise them. Therefore it is difficult to compile any comprehensive class specification for a large scale library with a number of complex jobs.
- If in a concern detailed job analysis is not made, the judgement in respect of a total range of jobs may lead to incorrect results/classification.
- The existing wage and salary rates affect the grading of jobs. The raters justify the existing salary ranges. If the job description justifies the lowering of the grade of a particular job, it cannot be done because labour normally does not accept any adverse condition of service.
- Writing of a grade description is also a very difficult task. This system becomes more difficult to operate if the number of jobs increases in a concern.

### Self Assessment

Fill in the blanks:

7. The ..... method is a combination of the ranking and point system.
8. .... was the first to originate factor comparison method of job evaluation.
9. Job Evaluation System is most commonly found in the ..... sector and heavily unionized industries.

### 4.4 Job Evaluation Process

The process of job evaluation involves the following steps:

- **Gaining acceptance:** Before undertaking job evaluation, top management must explain the aims) and uses of the programme to the employees and unions. To elaborate the programme further, oral presentations could be made. Letters, booklets could be used to classify all relevant aspects of the job evaluation programme.
- **Creating job evaluation committee:** It is not possible for a single person to evaluate all the key jobs in a library. Usually a job evaluation committee consisting of experienced employees, union representatives and HR experts is created to set the ball rolling.
- **Finding the jobs to be evaluated:** Every job need not be evaluated. This may be too taxing and costly. Certain key jobs in each department may be identified. While picking up the

Notes

jobs, care must be taken to ensure that they represent the type of work performed in that department.

- **Analysing and preparing job description:** This requires the preparation of a job description and also an analysis of job needs for successful performance.
- **Selecting the method of evaluation:** The most important method of evaluating the jobs must be identified now, keeping the job factors as well as libraries demands in mind.
- **Classifying jobs:** The relative worth of various jobs in an library may be found out after arranging jobs in order of importance using criteria such as skill requirements, experience needed, under which conditions job is performed, type of responsibilities to be shouldered, degree of supervision needed, the amount of stress caused by the job, etc. Weights can be assigned to each such factor. When we finally add all the weights, the worth of a job is determined. The points may then be converted into monetary values.

#### 4.4.1 Administration of Job Evaluation

Job evaluation requires commitment in time and effort. The length of time from introduction to operation will vary depending on the complexity of the scheme and the size of the job population. It is best to undertake the job evaluation exercise within an agreed time-scale so that:

- Wherever practicable it does not interfere with the planned pay negotiations,
- There is sufficient time to deal with appeals and where trade unions are recognised, to establish an agreed pay structure as a basis for subsequent collective bargaining, and
- Any additional finance to remedy anomalies in a grading structure can be budgeted for.

**Joint Participation:** Job evaluation is most effective as a participative exercise and this in itself can improve employment relations. It is therefore recommended that job evaluation is introduced or revised jointly by allowing management and employee representatives to discuss relevant issues initially in a non-negotiating forum. This is because:

- A joint approach is more likely to commit both parties to the outcome of the exercise with jointly recommended proposals more likely to be accepted during the consequent negotiations.
- Employee representatives generally welcome the opportunity to participate jointly at the formative stages of an important issue.
- A joint forum will generate more ideas and recommendations than might be expected in a more formal negotiating meeting.
- A jointly agreed job evaluation scheme can remove emotion from grading queries by allowing reasoning, rather than confrontation, to prevail, and
- In the event of an equal value claim, a jointly agreed analytical scheme is more likely to be regarded as fair by an employment tribunal.

**Job Evaluation Committee:** Libraries should be aware that the success of a job evaluation exercise is dependent primarily on the level of commitment of management and the appropriate trade union or employee representatives. It is important to establish a job evaluation committee, agree its terms of reference and to decide whether the scheme will be analytical or non-analytical.

The composition of the joint job evaluation committee should take full account of the interests of all groups of employees including women and ethnic minorities, covered by the evaluation

project. It would be impractical to have every occupational interest directly represented but it is important that members of the job evaluation committee possess as much knowledge as possible of the range of jobs involved.

**Validity of Job Evaluation Plan:** Before using the factor plan, the definitions, weightings and points allocated should be tested against benchmark jobs. These are jobs generally recognizable by the job population as representative of the spread of work to be evaluated. The benchmark jobs are placed in an agreed rank order which is the basis for testing the factor plan.

The test should be carried out by the job evaluation committee examining each benchmark job and considering each factor and the total points awarded. In this way it should be possible to check whether consistency has been maintained and whether the points allocated can be justified. If necessary the job evaluation committee should be prepared to redefine and adjust weightings at this stage.

**Maintenance:** Job evaluation is not a once and for all exercise and procedures must be devised to keep the scheme up to date. It is essential for someone in the library to have a continuing knowledge of the scheme. If the scheme is not regularly maintained, the initial problems which gave rise to the need for job evaluation may re-emerge and the scheme will fall into decay and disrepute. If maintenance is carried out, the scheme will last longer and should continue to be acceptable. A prerequisite for setting up a maintenance programme is the provision of a written job evaluation manual which sets out the background and history, rules and results of the scheme, allocation of responsibility and details of how the scheme will be kept up to date.

It is experienced that the on-going maintenance of a scheme requires that:

- Responsibility for the scheme is clearly allocated
- Job descriptions are prepared for new or altered jobs
- A programme for carrying out those reviews should be considered in advance, and
- Replacement committee members are identified and trained.

**Re-evaluation of jobs:** There should be a separate procedure for dealing with the evaluation of new jobs or the re-evaluation of an existing job which has changed. The following procedure is suggested:

- The employee should apply to his or her immediate line manager, using a standard form which sets out the reasons why the grading is not, or no longer, thought appropriate.
- The line manager, after discussion with the employee as necessary, should submit the application to the Personnel Department, indicating whether or not it is supported.
- The Personnel Department should arrange for a current updated job description to be prepared and agreed by the employee and line manager.
- The joint evaluation committee should consider the job description and give its decision within an agreed time-scale.

## Self Assessment

Fill in the blanks:

10. A joint ..... will generate more ideas and recommendations than might be expected in a more formal negotiating meeting.
11. It is important to establish a job evaluation ....., agree its terms of reference and to decide whether the scheme will be analytical or non-analytical.

## 4.5 Compensable Factors

Point factors are also called “compensable factors.” A compensable factor is any particular skill, responsibility, effort or physical demand for which an employer is willing to pay an employee. Typically an employer’s compensable factors encompass four major categories:

1. Skill
  - ❖ Experience
  - ❖ Education/Training
  - ❖ Ability
2. Responsibility
  - ❖ Supervisory
  - ❖ Fiscal
3. Effort
  - ❖ Mental
  - ❖ Physical
4. Working conditions
  - ❖ Location
  - ❖ Hazards
  - ❖ Physical demands
  - ❖ Extremes in environment

Thus point factor systems are typically attuned to an employer’s vision, mission and culture; and a library/employer must first know what they want to pay for in the work they will ask their employees to perform, or what attributes they value most, so that they can set their compensation rates. Sounds simple, but it can get complex.



*Example:* In any point factor system, knowledge/education is usually a heavily weighted factor. To those who employ workers in higher education services, education or training would naturally be an important attribute to reward in a compensation system.

### 4.5.1 Other Compensable Factors

Compensation and promotion decisions can place pressure on managers, who try to ensure the equitable distribution of salary raises according to a number of factors. Basing your compensation decisions on a solid, well-communicated set of factors can help to alleviate feelings of unfairness or misgivings about the decision process in your staff, and can help employees to direct their energies toward activities that will enhance their career.

#### Extraordinary Service

A few employees in nearly every workplace truly stand out from their peers in their productivity and work ethic. These are the people who quickly master their normal duties and find themselves helping others or asking for more responsibilities. Acknowledging and compensating highly



productive employees can help you retain the top talent in your library. Over-achievers are likely to become disillusioned with an employer if they feel their work ethic is not appreciated in a tangible form, or if they believe that less productive workers are treated preferentially in compensation decisions. Another type of employee lacks the innovative and energetic spirit of the over-achiever, but is persistent in a rigorous dedication to the quality and timeliness of their regular work. It can be easy to overlook the quiet worker who never asks for a raise, even though his work is consistently error-free and completed on time. Seek out these employees; recognize and compensate them in addition to the super-productive group to encourage long-term commitment in your most reliable employees.

### **Goal Achievement**

Setting measurable, time-bound goals in a job evaluation can go a long way toward reducing feelings of unfairness in compensation and promotion decisions. Collaborate with individual employees to create a list of goals for the upcoming year, and let the employee know how much of a raise he can expect to receive if the goals are met by next year's evaluation. The goal-setting approach can take nearly all of the pressure off managers at evaluation time. If an employee has reached his goals, he gets the agreed-upon raise; if not, then the manager can take a more subjective approach to the decision.

### **Length of Service**

Length of service is a traditional compensable factor that innovative companies have been re-evaluating in recent years. Rather than rewarding employees based on their contributions to libraries goals, length-of-service raises compensate employees strictly for their loyalty. There is something to be said for promoting loyalty within your library, even at the expense of productivity. Under this type of compensation system, there may come a time for each employee where her salary at your company far exceeds the amount she could earn in a similar position elsewhere. This works like a double-edged sword, of course, as you would then be incurring higher salary expenses than others in your industry.

### **Competencies**

Compensating employees for learning new skills and completing educational milestones can encourage personal and professional growth in your employees. Knowledge and growth can enhance employees' productivity, effectiveness, satisfaction and loyalty. This can make them more valuable to your company and to your competitors as well, making it a wise decision to increase employees' salaries when they have earned college degrees and certifications, or completed company-sponsored training programs.

## **4.5.2 Method of Job Evaluation**

Job evaluation methods vary. The modified Aiken plan described here is a factor comparison plus factor analysis plus point evaluation. It is known as a Point-Factor plan. Point-Factor plans are considered to be particularly suitable for purposes of pay equity compliance.

### **Point Factor Method**

The point factor method is the most commonly used formal approach to job evaluation. PFM is a technique, according to the HR Guide, that "has a set of compensable factors that measure and determine the worth of jobs." PFM originated during the Frederick Taylor scientific management movement in 1871. Then, in the 1930s, Edward Hay began the development of one of the first

**Notes**

point factor plans, the Hay Point Factor Plan. As organizations have grown and personnel functions have evolved, systems such as PFM provide a rational method to reduce inconsistencies in compensation evaluation.

PFM identifies four primary compensable factors used to determine pay. These factors include skills, responsibilities, effort and working condition. It further defines skills as years of experience, level of education and overall ability. Responsibilities include number of direct reports, fiscal accountability, and the position itself. For instance, a management verses an hourly worker position. PFM further defines effort as the level of mental or physical effort involved in the job accountabilities. Working conditions include the overall environmental factors such as location, hazards and any extreme factors.

### 4.5.3 Description of the Job Evaluation Factors

The job evaluation system described below, (modified Aiken) uses nine factors. These are as follows:

**Complexity/Judgment:** This factor deals with the decision-making aspects of the position. Complexity refers to the variety and relative difficulty of the material or information upon which decisions are based. Judgment refers to the use of knowledge and experience in making the decisions. Grade levels increase in relation to the variety of issues and activities, and to the difficulty of the problems and decisions dealt with.

**Education:** Education refers to the training necessary to prepare an individual to satisfactorily fill a position. It reflects the level of formalized knowledge necessary to fulfil the requirements of the position. It does not mean that a designated amount of formal education is an absolute necessity. Such knowledge is most commonly acquired as a result of time spent in schools, colleges, universities or other formal instruction programmes. Application of this factor should not be confused with either the basic education of a particular incumbent or with employment standards established to ensure adequate background for advancement within the library. Today's educational levels and standards should be used. This factor is closely associated with the following one for Experience. Rating under the Experience factor should reflect the educational level assigned in this factor.

**Experience:** Work experience measures the length of time, (in months or years), required to learn, under instruction or guidance, the essential techniques and skills called for by the job. The experience will be gained on the job under consideration, as well as on prior jobs where the same or more elementary principles and techniques are used, and also on related jobs where one can build up a body of knowledge essential to the proper performance of the job. The amount of work experience is the sum total of all experiences, (prior and on the present job) that must be acquired in order to perform the work. Assume that the incumbent starts with the educational level specified in the Education factor.

**Initiative:** Initiative refers to the degree of independent action required. It also considers ingenuity, creative imagination, and original thought which may be needed on the job. It is limited by the amount of direction and control received from either personal supervision or standard practices and precedents – rules, policies, codes, regulations, and procedures. This factor is closely related to the complexity of the job and the judgement exercised. The initiative factor increases as the complexity of the job and the judgement exercised on the job rises.

**Result of Errors:** This factor appraises the likelihood and the probable effect of errors on the job. Consider the extent of losses to the library which may result from mistakes occasioned by insufficiently considered decisions or judgments. Consider a typical instance, not a rare or extreme one. (Result of Errors is also used to evaluate responsibility for the safety of others.)

**Contacts:** This factor considers the need for applying different levels of interpersonal and communication skills. Contacts refer to the relative importance to the University of the Necessary

Working Relationships of the position holder with other people. The contacts can be internal or external to the library. Contacts are of a personal nature: talking face-to-face, on the telephone, making presentations, written communication, providing instructions, counselling or public appearances.

*Character of Supervision (a):* Character of supervision considers the degree, kind and intricacies of line supervisory responsibility, or; the nature of functional supervision, technical direction or advice involved in staff relationships. Consider the extent to which responsibility for results goes with the position - in terms of operations, policy, personnel and finances.

*Scope of Supervision (b):* Scope of supervision appraises the size of the direct-line responsibilities measured in total number of people within the library unit supervised.

*Physical Demands:* Physical demands considers the degree and severity of exertion associated with the position. The intensity and severity of the physical effort, mental or visual attention required by the job is considered as well as the continuity and frequency of that effort. This factor also considers the choice of action available to seek relief or perform less demanding tasks. Demands typically occur simultaneously, however severity varies. The factor considers demands in combination, albeit that often there is a predominant demand, e.g. mental attention.

*Working Conditions:* This factor considers the frequency of exposure to disagreeable environmental conditions, or hazards, i.e. dirt, temperature extremes, chemicals, under which the work is performed. It also includes the degree of health hazard and any aspects of necessary travel. Only the conditions or hazards inherent in the nature of the work are considered.

#### 4.6 Weighting of Factors

The factors used by the job evaluation plan are unbiased and therefore are factors that can be applied equally to men and women. For example, working with people, (a feature common to the female job classes), and working with equipment, (a feature common to male job classes), are each given consideration in the evaluation process.

Table 4.3: Example of Job Evaluation Factors

Sub Factor	Definition	Level
1. Skill - 46.2%		
Complexity - Judgment	Measure of variety, difficulty and decision-making aspects	Is the work routine, repetitive, diversified, or complex? Does the work involve analysis, or planning? Decision making or policy information?
Education	Formal knowledge required for work	Does the job require elementary school, secondary school? College or a university degree?
Experience	Time to acquire job skills/competence	How much on the job training is required to perform the work: 1 month, 6 months, 3 years or five years?
2. Effort - 13.2%		
Initiative	Measure of direction received and level of job control required; refers to the degree of independent action required	Do you work under close supervision or frequent supervision? Do you work with just general direction and guidance, or do you work independently on policy making activities?
Physical/Mental Demands	Physical and mental exertion such as lifting, manual dexterity, visual concentration, mental concentration, fine motor skills	Does the work cause undue fatigue, considerable standing, little physical effort or continuous heavy effort.

Contd...

Notes


3. Responsibility - 36.2%		
Responsibility for Errors	Measure of seriousness of potential errors in judgement or action; considers a typical instance, not a rare or extreme one	Are errors readily detected? Do errors have limited or considerable impact on the work of others or do they cause a serious breakdown in the operation of the university?
Contacts	Type and importance of work relationships	Does the work require contact with immediate associates, important contacts in which recommendations are presented, or contacts beyond the university which are vital to its operation?
Supervision	Nature of supervisory responsibilities	Do you give little supervision, limited supervision, general supervision or do you give policy direction?
	Number of staff supervised	How many staff do you supervise? One?, 5-10?, more than 50?
4. Working Conditions – 4.4%		
Working Conditions	Work environment and job requirements. Unpleasant conditions which are inherent in the job and which will not change even if job location changes	In the workplace are there minimum disadvantages or disagreeable conditions? Is there continuous exposure to severe factors?

Source: <http://www.uoguelph.ca/hr/managers/job-design-job-evaluation/job-evaluation-plan>

**Self Assessment**

Fill in the blanks:

12. Point factors are also called .....
13. ....is a traditional compensable factor that innovative companies have been re-evaluating in recent years.
14. The modified ..... described here is a factor comparison plus factor analysis plus point evaluation. It is known as a Point-Factor plan.
15. .... refers to the degree of independent action required.
16. Scope of ..... appraises the size of the direct-line responsibilities measured in total number of people within the library unit supervised.



*Case Study*

### Techniques of Functional Job Analysis

A different approach of applying the techniques of functional job analysis to libraries was begun in 1969 by the Illinois Task Analysis Project (ILTAP). The objective of Phase I of the project was to provide a realistic description of work actually being done in public, school, special, and academic libraries. This phase identified 1,615 tasks performed by eighteen libraries. The project culminated in phase III with the publication

*Contd...*

## Notes

of a synthesis of the preceding phases and a list of library tasks arranged by eight major subsystems and three performance levels - professional, technical, and clerical.

Most recently, the consultants for Project Progress used as a starting point the Illinois tasks and functional groupings to find out who does what in a selection of public libraries. The task list they developed contained 787 tasks. An analysis of the task survey shows considerable overlap in performance of tasks by various categories of library workers. The researchers state that "We can identify no norms or patterns by which libraries could assess their own task/personnel assignments. Only 9.5 per cent of the tasks listed were carried out exclusively by librarians." The consultants conclude that task analysis is not a tool that can enable libraries to rationalize and account for their effectiveness in personnel administration. In addition they conclude that "extrapolating 'who should do what' in libraries from 'who is doing what' is neither feasible nor desirable." Rather, they recommend that model job descriptions should be developed to provide guidelines for appropriate task assignment within public libraries.

**Questions**

1. Describe the Function Job Analysis.
2. Explain the job description model and advantages of Job description.

Source: <http://www.unesco.org/webworld/ramp/html/r8722e/r8722e0t.htm>

**4.7 Summary**

- Job analysis is the process of investigating and analysing the functions in a work assignment or group of assignment.
- Job description is an organized factual statement of job contents in the form of duties and responsibilities of a specific job.
- Job specification translates the job description into human qualifications so that a job can be performed in a better manner.
- Job specification helps in hiring an appropriate person for an appropriate position.
- Job evaluation as evident from the word itself aims at evaluating the job and not the person. It is a process of evaluating and determining the value of the job for a library.
- The factor comparison method is a combination of the ranking and point system.
- There are various qualitative methods of job evaluation such as: Job Ranking Method, Job Classification or Grading Method.
- Job evaluation requires commitment in time and effort. The length of time from introduction to operation will vary depending on the complexity of the scheme and the size of the job population.

**4.8 Keywords**

**Complexity:** Complexity refers to the variety and relative difficulty of the material or information upon which decisions are based.

**Initiative:** Initiative refers to the degree of independent action required.

**Job:** Job is piece of work or may be pieces of work to be done by an individual which lead to a result and becomes part of an activity.

**Notes**

**Job Analysis:** The job analysis is a technique for investigating general work assignment or jobs.

**Job Description:** Job Description is an organized factual statement of job contents in the form of duties and responsibilities of a specific job.

**Job Evaluation:** Job evaluation as evident from the word itself aims at evaluating the job and not the person. It is a process of evaluating and determining the value of the job for a library.

**Job Specification:** Job Specification is a statement which tells us minimum acceptable human qualities which helps to perform a job. It translates the job description into human qualifications so that a job can be performed in a better manner.

**Judgment:** Judgment refers to the use of knowledge and experience in making the decisions.

### 4.9 Review Questions

1. Define job Analysis and state the various methods of Job Analysis.
2. Discuss the practical problems with job analysis.
3. Define the following terms: (a) Job Description, (b) Job Specification
4. Explain the Principles of Job Evaluation.
5. Describe the Job Evaluation Methods.
6. "Job evaluation is most effective as a participative exercise." Justify your statement.
7. What are the factors affecting the Job Evaluation?
8. Explain the Compensable Factors.
9. List the advantages and disadvantages of Job Ranking Method.

### **Answers: Self Assessment**

- |                       |                         |
|-----------------------|-------------------------|
| 1. Job Description    | 2. Job Specification    |
| 3. compensation       | 4. job ranking          |
| 5. pair comparison    | 6. Standardisation      |
| 7. Factor Comparison  | 8. Thomas E. Hitten     |
| 9. public             | 10. forum               |
| 11. committee         | 12. compensable factors |
| 13. Length of service | 14. Aiken plan          |
| 15. Initiative        | 16. Supervision         |

### 4.10 Further Readings



Books

C.K. Sharma, Kiran Singh. 01-Jan-2005. *Library Management (Vol 1)*, Atlantic Publishers & Distributors.

D.K. Pandey. Jan, 2004. *Library and Information Science*. Atlantic Publishers & Distributors.

Richard E. Rubin. Third Edition. *Foundations of Library and Information Science*. Neal-Schuman Publishers New York London.

Notes



Online links

<http://www.shrmindia.org/knowledge-center/compensation-and-benefits/job-evaluation/introduction-job-evaluation>

<http://www.whatishumanresource.com/Qualitative—methods-of-job-evaluation>

<http://smallbusiness.chron.com/job-evaluation-methods-43350.html>

<http://www.openlearningworld.com/books/Job%20Analysis%20and%20Evaluation/Job%20Analysis%20and%20Evaluation/Process%20of%20Job%20Evaluation.html>

<http://smallbusiness.chron.com/compensable-factors-job-evaluation-2582.html>

<http://office.microsoft.com/en-us/infopath-help/conduct-a-job-evaluation-HA001189535.aspx>

[http://www.acas.org.uk/media/pdf/4/0/B01\\_1.pdf](http://www.acas.org.uk/media/pdf/4/0/B01_1.pdf)

## **Unit 5: Library Staffing**

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### **Objectives**

After studying this unit, you will be able to:

- Discuss the importance of library staffing
- Explain the working of managing the staff
- Describe the Process of recruitment
- Understand the problems of staffing
- Explain staffing program



## Introduction

Notes

The managerial function of staffing involves manning the organization structure through proper and effective selection, appraisal and development of the personnel to fill the roles assigned to the employers/workforce.

According to Theo Haimann, "Staffing pertains to recruitment, selection, development and compensation of subordinates."

Staffing has been an important aspect in all types of organizations' development. More and more companies have noticed a good staffing plan could increase productivity and reduce operation costs in terms of lower turnover rate and transition costs. Good staffing could be able to minimize cost in order to maximize profit, because it could assist the company to stay more competitive within the industry. According to the definition by Dr. Green, "staffing is the process of identifying work requirements within an organization; determining the number of people and the skills necessary to do the work; and recruiting, selecting and promoting the qualified candidates. It is the selection process of screening and hiring new employees, which includes functions like resume reviewing, interview, drug testing, assessment testing, and background check" (Green, 2003). Different companies have different strategies in how to select their candidates. Depending on the size, geographic and industry etc., their strategies could be very different. Therefore, one specific staffing plan might work for one company, but it might not work for another.

"In staffing an organization or an organizational unit, it is important to consider its developmental stage-embryonic, high growth, mature, or aging-in order to align staffing decisions with business strategy".

### 5.1 Importance of Library Staffing

"Staffing is the process, through which competent employees are selected, properly trained, effectively developed, and suitably rewarded and their efforts harmoniously integrated towards achieving the objectives of the business." Staffing has been an important aspect in an organization's performance. They are:

1. **Enhances other managerial functions:** It influences the direction and control in the organization. The effectiveness of the other managerial functions depends on the effectiveness of the staffing function of the organization.
2. **Training and development:** Staffing provides training and development to the employees. It enhances the employees to work effectively, and it leads to performance of the organization.
3. **Effective coordination:** Staffing function helps to build proper human relationships in the organization. An Effective human relation is the key to better communication and coordination of managerial efforts in an organization.
4. **Effective recruitment and placement:** Staffing provides effective recruitment and placement which selects the right person for the right job. It will automatically increase the performance of organization by having or selecting talented employees for the organization.
5. **Building effective human resource:** For an organization, talented and experienced staffs are the best assets. It will be created by staffing function. Staffing inculcates the corporate culture into the staff which in turn ensures smooth functioning of all the managerial aspects of the business.

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6. **Maximum utilization of work force:** Staffing helps in increasing the organization performance by utilizing the workforce to the maximum level.
7. **Long-term effect of the organization:** Staffing decisions have long-term effect on the efficiency of an organization. Staffing function in an organization assumes special significance in the context of globalization which demands high degree of efficiency in maintaining.



*Did u know?* Indian Staffing Federation (ISF) was set up by leading staffing companies in India also known as Private Employment Agencies globally, with one common goal - Staffing India's Growth.

**Self Assessment**

Fill in the blanks:

1. An effective ..... is the key to better communication and coordination of managerial efforts in an organization.
2. .... decisions have long-term effect on the efficiency of an organization.



Caselet

**Staffing the Way You Need It**

**W**hether need is temporary, temp-to-hire, or full-time direct hires, in-house or virtual, short or long-term, LAC Group can help. They specialize in positions within the information industry that includes libraries, archives, records, digital assets, research, competitive intelligence, and other information management projects and positions.

For projects large and small, one-time or ongoing, they've got the highest-quality candidates ready to start work today.

LAC Group library & research staffing services include:

- Archivists and archive/EAD projects
- Acquisitions
- Cataloguing
- Contract negotiation and management
- E-discovery
- Indexing
- Knowledge services
- Library management & staff
- Metadata
- Research of all types
- Serials management

Contd...

- Taxonomy
- Technical services
- Virtual library, reference, and research services

Notes

Source: <http://www.lac-group.com/library-info-services/staffing-recruiting/>

## 5.2 Nature of Staffing Function

1. **Staffing is an important managerial function:** Staffing function is the most important managerial act along with planning, organizing, directing and controlling. The operations of these four functions depend upon the manpower which is available through staffing function.
2. **Staffing is a pervasive activity:** As staffing function is carried out by all managers and in all types of concerns where business activities are carried out.
3. **Staffing is a continuous activity:** This is because staffing function continues throughout the life of an organization due to the transfers and promotions that take place.
4. **The basis of staffing function is efficient management of personnel:** Human resources can be efficiently managed by a system or proper procedure, that is, recruitment, selection, placement, training and development, providing remuneration, etc.
5. **Staffing helps in placing right men at the right job:** It can be done effectively through proper recruitment procedures and then finally selecting the most suitable candidate as per the job requirements.
6. Staffing is performed by all managers depending upon the nature of business, size of the company, qualifications and skills of managers, etc. In small companies, the top management generally performs this function. In medium and small scale enterprise, it is performed especially by the personnel department of that concern.



**Task** List the top 10 Staffing Companies in India.

## Self Assessment

Fill in the blanks:

3. The basis of staffing function is efficient management of .....
4. In small companies, the ..... generally performs the Staffing function.

## 5.3 Managing the Staff

It is important when managing your staff; you do it appropriately and with the upmost respect. Without proper management you be left with unhappy staff which leads to unhappy customers/ business. You have to keep in mind that without the good work of your staff, your business will be doomed. Be a leader and do not let the intimidation of being in charge give you a big head. With a few simple steps on how to manage your staff effectively, you will have a happy staff and a potentially successful business.

1. **Treat each member of your team the same:** You need to be sure that you don't come off showing favouritism because that will cause nothing but tension in the workplace. Not

**Notes**

just between you and the upset staff members but between all of the staff members as a whole. This is why it is so important to treat everyone the same, it will give you the best results to a flourishing business because your staff will know they are on the same page and will work well together.

2. **Create trust between yourself and your staff:** Without trust your business does not stand a chance. It will make it easy for the members of your team to follow your guidance and instruction to a successful business. To be an effective leader it is important to gain and maintain the trust between you and your staff.
3. **Show Interest in the work your staff is putting into your business:** If you see that your team is really putting their all into your business to make it successful, do not let it go unsaid. Make sure they know you see what a great job they are doing and that they know you value them as a staff member. With the positive feedback it will keep a positive workplace.
4. **Conduct a weekly exercise to motivate the team:** A weekly exercise might help improve areas your team needs to work on. Doing this might potentially be a way for your team to know you care about where they are and you want to see them develop.

### 5.3.1 Staff Selection

The basic qualities of library staff are that the librarian should try to find out the aptitudes of the prospective employees because unless the library work suits their tastes proper output service cannot be saved. If highly qualified young and ambitious persons are appointed for lower category post, they may not stick to such posts. Some other points to be noted are as follows:

- The prospective employee should be adequately qualified and experienced one to perform the necessary jobs.
- The prospective employee should have love for books.
- He/she should regularly read some books for acquiring knowledge and pleasure.
- The prospective employee should have love for humanity.
- He/she should deal with the readers in a sympathetic way and try to help them and remove their difficulties.



*Caution* Care should be taken that persons with appropriate qualifications required for particular posts are selected for particular job.

### 5.3.2 Staff Training

The Library shall support the training and development of staff based on the following:

- The Library's needs and priorities for development of specific expertise to meet future growth of services.
- Staff members' individual needs to develop specific competencies in their positions.
- The Library's need for staff to meet minimum competencies in the use of new technology.

The training programs give employees the information they need to protect themselves and others at work and to efficiently manufacture quality feed. Depending on the job duties and responsibilities, as well as the employee's level of experience, orientation might stretch out over several weeks.

### 5.3.3 Staff Supervision and Discipline

Notes

Staff supervision is the role of the front line supervisor in a company or organization. Supervisors have direct contact with the employees who they supervise. Supervision helps establish order in the workplace. Supervisors report to managers in the organization hierarchy. Effective supervision is a foundation of a successful organization. A supervisor is responsible for developing and maintaining a high level of performance in your work unit. He is also responsible for developing and maintaining appropriate conduct and good working relationships in your unit.

It is the responsibilities of a supervisor, to be aware of things employees must know to perform their jobs efficiently. These include:

- The agency's policies, rules, and regulations governing the employees' work,
- The proper kind of behaviour expected of employees to establish and maintain good working relationships,
- The objectives, duties, and tasks each employee is expected to perform.
- Knowing the scope of your authority to impose or recommend disciplinary action.

Discipline represents perhaps the most difficult area of supervision. Discipline in the workplace is the means by which supervisory personnel correct behavioural deficiencies and ensure adherence to established company rules. The purpose of discipline is to correct behaviour. It is not designed to punish or embarrass an employee. The good quality of training, appropriate supervision, and targeted coaching will minimize the need for discipline. Progressive discipline allows you to build on the skills of your present staff and to make clear to everyone what the company policy is on job expectations. It improves the efficiency of your company by saving you the time and money involved in dismissing one employee and hiring a new one. As an employer, the way you apply the progressive discipline process is the basis of your defence if an employee files a complaint of unjust dismissal. These will help the manager to establish a balanced point of view to fairly praise or redirect activities.



*Notes* Discipline means getting a change in behaviour.

### 5.3.4 Evaluation

Evaluation involves the assessment of the effectiveness of the training programs. This assessment is done by collecting data on whether the participants were satisfied with the deliverables of the training program, whether they learned something from the training and are able to apply those skills at their workplace. There are different tools for assessment of a training program depending upon the kind of training conducted.

Since organizations spend a large amount of money, it is therefore important for them to understand the usefulness of the same.



*Example:* If a certain technical training was conducted, the organization would be interested in knowing whether the new skills are being put to use at the workplace or in other words whether the effectiveness of the worker is enhanced. Similarly in case of behavioural training, the same would be evaluated on whether there is change in the behaviour, attitude and learning ability of the participants.

Notes

### Benefits of Training Evaluation

Evaluation acts as a check to ensure that the training is able to fill the competency gaps within the organization in a cost effective way. This is especially very important in wake of the fact the organizations are trying to cut costs and increase globally. Some of the benefits of the training evaluation are as under:

- **Evaluation Ensures Accountability:** Training evaluation ensures that training programs comply with the competency gaps and that the deliverables are not compromised upon.
- **Check the Cost:** Evaluation ensures that the training programs are effective in improving the work quality, employee behaviour, attitude and development of new skills within the employee within a certain budget. Since globally companies are trying to cut their costs without compromising upon the quality, evaluation just aims at achieving the same with training.
- **Feedback to the Trainer/Training:** Evaluation also acts as a feedback to the trainer or the facilitator and the entire training process. Since evaluation accesses individuals at the level of their work, it gets easier to understand the loopholes of the training and the changes required in the training methodology.

Not many organizations believe in the process of evaluation or at least do not have an evaluation system in place. Many organizations conduct training programs year after year only as a matter of faith and not many have a firm evaluation mechanism in place. In Organizations like IBM, Motorola only, it was found out, have a firm evaluation mechanism in place.

### 5.3.5 Personnel Records

Personnel records are records pertaining to employees of an organization. These records are accumulated, factual and comprehensive information related to concern records and detained. All information with effect to human resources in the organization is kept in a systematic order. Such records are helpful to a manager in various decision-making areas.

Personnel records are maintained for formulating and reviewing personnel policies and procedures. Complete details about all employees are maintained in personnel records, such as, name, date of birth, marital status, academic qualifications, professional qualifications, previous employment details, etc.

#### Types of Personnel Records

The different types of personnel records are mentioned below:

1. Records of employment contain applicants past records, list sources, employees' progress, medical reports, etc.
2. Wages and salaries records contain pay roll records, methods of wages and salaries, leave records, turnover records and other benefit records.
3. Training and development contains appraisal reports, transfer cases, training schedule, training methods.
4. Health and safety records include sickness reports, safety provisions, medical history, insurance reports, etc.
5. Service records are the essential records containing bio-data, residential and family information, academic qualifications, marital status, past address and employment records.

## Self Assessment

Notes

Fill in the blanks:

5. .... is the role of the front line supervisor in a company or organization.
6. .... represents perhaps the most difficult area of supervision.
7. The supervision of staff must include the ..... of the observed and reported employee behaviour issues, his work related deficiencies, as well as positive comments achieved.
8. Evaluation involves the ..... of the effectiveness of the training programs.
9. .... also acts as a feedback to the trainer or the facilitator and the entire training process.
10. .... are records pertaining to employees of an organization.
11. Personnel records are maintained for formulating and reviewing ..... and procedures.

## 5.4 Recruitment

Recruitment is the activity that links the employers and the job seekers. It is a process of finding and attracting capable applicants for employment. The process begins when new recruits are sought and ends when their applications are submitted. The result is a pool of applications from which new employees are selected.

Recruitment needs are of three types:

1. **Planned:** i.e. the needs arising from changes in organization and retirement policy.
2. **Anticipated:** Anticipated needs are those movements in personnel, which an organization can predict by studying trends in internal and external environment.
3. **Unexpected:** Resignation, deaths, accidents, illness give rise to unexpected needs.

### 5.4.1 Sources of Recruitment

There are many recruitment sources and flexibilities available to help in the effort to locate the right candidate for vacant positions. Below is a list of internal and external recruitment sources, competitive examining sources, and recruitment incentives and flexibilities.

**Internal Recruitment:** In order to better understand what internal recruitment is, it must be distinguished from internal staffing. Internal staffing involves the actual selection of employees for promotions, demotions, transfers, and layoffs. Such decisions are often made without the active and voluntary participation of current employees. Internal recruitment, on the other hand, involves generating active, voluntary participation.

Reassignment is the movement of an employee to another position for which he/she qualifies at the same grade level and with an equivalent target grade or equivalent band level, if applicable. A reassignment eligible is considered a non-competitive candidate, or is a non-competitive referral, because he/she has already competed for and currently holds, or has held, an equivalent position to the one being filled. Therefore, a second competition is not required.

- A reassignment can be “management directed.” These actions are initiated by management to laterally move an employee to another position within the organization or between organizations.

Notes

- A reassignment can also be a “voluntary request.” These actions are initiated by an employee wishing to move to another position.

### External Recruitment

An external recruitment strategy is one which a human resources department will systematically search the employee pool outside its own employees to fill positions. Many firms will use advertisements in newspapers, job search websites, job fairs and referrals from current employees to fill positions. Some companies will utilize a temporary employee agency to fill positions that can be completed quickly and with less company-specific skill required to complete the desired task. Other firms will use head-hunters or hiring consultants to seek, screen and deliver employees for a fee.

1. **Private Employment Agencies/Consultants:** Public employment agencies or consultants like ABC Consultants in India perform recruitment functions on behalf of a client company by charging fees. Line managers are relieved from recruitment functions and can concentrate on operational activities.
2. **Public Employment Exchanges:** The Government set up Public Employment Exchanges in the country to provide information about vacancies to the candidates and to help the organization in finding out suitable candidates. As per the Employment Exchange act 1959, makes it obligatory for public sector and private sector enterprises in India to fill certain types of vacancies through public employment exchanges.
3. **Professional Organizations:** Professional organizations or associations maintain complete bio-data of their members and provide the same to various organizations on requisition. They act as an exchange between their members and recruiting firm.
4. **Data Banks:** The management can collect the bio-data of the candidates from different sources like Employment Exchange, Educational Training Institutes, candidates etc. and feed them in the computer. It will become another source and the co can get the particulars as and when required.
5. **Casual Applicants:** Depending on the image of the organization its prompt response participation of the organization in the local activities, level of unemployment, candidates apply casually for jobs through mail or handover the application in the Personnel dept. This would be a suitable source for temporary and lower level jobs.
6. **Similar Organizations:** Generally experienced candidates are available in organizations producing similar products or are engaged in similar business. The Management can get potential candidates from this source.
7. **Trade Unions:** Generally unemployed or underemployed persons or employees seeking change in employment put a word to the trade union leaders with a view to getting suitable employment due to latter rapport with the management.
8. **Walk In:** The busy organization and rapid changing companies do not find time to perform various functions of recruitment. Therefore they advise the potential candidates to attend for an interview directly and without a prior application on a specified date, time and at a specified place.
9. **Consult In:** The busy and dynamic companies encourage the potential job seekers to approach them personally and consult them regarding the jobs. The companies select the suitable candidates and advise the company regarding the filling up of the positions. Head-hunters are also called search consultants.



10. **Body Shopping:** Professional organizations and the hi-tech training develop the pool of human resource for the possible employment. The prospective employers contact these organizations to recruit the candidates. Otherwise the organizations themselves approach the prospective employers to place their human resources. These professional and training institutions are called body shoppers and these activities are known as body shopping. The body shopping is used mostly for computer professionals. Body shopping is also known as employee leasing activity.
11. **Mergers and Acquisitions:** Business alliances like acquisitions, mergers and take over help in getting human resources. In addition the companies do also alliances in sharing their human resource on ad hoc basis.
12. **E-recruitment:** The technological revolution in telecommunications helped the organizations to use internet as a source of recruitment. Organizations advertise the job vacancies through the world wide web (www). The job seekers send their applications through e-mail using the Internet.
13. **Outsourcing:** Some organizations recently started developing human resource pool by employing the candidates for them. These organizations do not utilize the human resources; instead they supply HR's to various companies based on their needs on temporary or *ad-hoc* basis.



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#### 5.4.2 Internal vs External Sources of Recruitment

An internal recruitment strategy is characterized by promoting employees from within an organization to fill upcoming positions. Many firms use such devices as job posting boards, email flashes, intranet posts and fliers to advise existing employees of positions they may vie for. This recruitment may be in the form of creating and shuffling temporary teams to fill certain tasks or may be permanent changes. Internal recruitment may be primarily horizontal or it may be for promotions in which the promoted employee's former position may not be filled.

An external recruitment strategy is one which a human resources department will systematically search the employee pool outside its own employees to fill positions. Many firms will use advertisements in newspapers, job search websites, job fairs and referrals from current employees to fill positions. Some companies will utilize a temporary employee agency to fill positions that can be completed quickly and with less company-specific skill required to complete the desired task. Other firms will use head-hunters or hiring consultants to seek, screen and deliver employees for a fee.

#### 5.4.3 Advantages and Disadvantages of Internal Recruitment

##### Advantages

Some of the advantages of Internal Recruitment are as under:

- Easier to assess applicants since more information is available
- Less costly and quicker than an external search
- Promoted employee is already familiar with organization policies, culture, etc.

**Notes**

- Signals to employees that career opportunities exist in organization
- Improve employee morale and organization loyalty
- Lower costs for some jobs
- Less likely to make major changes and upset the apple cart

**Disadvantages**

The method of internal recruitment suffers from certain disadvantages. These are:

- Narrowing of thinking and stale ideas (inbreeding)
- May not help turn company around
- Training will be needed and learning curve will occur for the job duties
- Internal politics will occur (e.g., possible discontent of rejected applicants; new subordinates discount new boss' knowledge and expect special treatment; etc.)
- Difficult to do with rapid growth
- Affirmative action goals may be more difficult to achieve
- Ripple effect
- Smaller talent pool/fewer applicants

**5.4.4 Advantages and Disadvantages of External Recruitment**

**Advantages**

Some of the advantages of making recruitment from outside sources are as follows:

- Provides new ideas/fresh perspectives
- May bring new insights from other industries
- Initiate a turnaround
- Hiring experienced employee can reduce training needed
- Internal politics may be avoided (e.g., less upsetting to present organizational hierarchy)
- Allows rapid growth
- Increase diversity
- Only hire at one level

**Disadvantages**

This method also suffers from certain disadvantages. These are as follows:

- Less information available on applicants
- Search takes longer and costs more
- Outsider takes time to become familiar with current systems and organization culture
- Destroys incentive of present employees to strive for promotion

- Can hurt employee morale and loyalty
- May have to pay more for the job
- Current organization members may fight new ideas

### Self Assessment

Fill in the blanks:

12. .... is the activity that links the employers and the job seekers.
13. .... needs are those movements in personnel, which an organization can predict by studying trends in internal and external environment.
14. An ..... recruitment strategy is one which a human resources department will systematically search the employee pool outside its own employees to fill positions.
15. .... is also known as employee leasing activity.

### 5.5 Problems of Staffing

Due to the fact that people are dynamic in nature, therefore they have to be handled tactfully. Staffing involves administering a social system which is very complex. Over the years staffing function has become more and more complex. It is time consuming, frustrating and often complicated, due to some of the reasons given below:

1. Increasing Government Regulations Regarding Employment Practices (Recruitment, Resignation, Dismissal, Retirement, etc.) has made the staffing pattern very complex.
2. Increasing Staff Concern for Working Conditions and Benefits may be a result of continuous pressure by the union or bargaining with the unions for these.
3. Insufficient Budget might disturb the staffing pattern as it can lead to vacancies for a particular position and retrenchments also.
4. Rampant downsizing of Organization (Restructuring) by having few newer appointments and faster redundancies takes place due to restructuring of the parent body including that of a library.
5. Increasing complexity of organization due to rapid advancement in information technology, Global competition, etc. has made it difficult for the managers to manage the organization.



*Notes* A company restructures its operations or structure by cutting costs, such as payroll, or reducing its size through the sale of assets. This is often seen as necessary when the current situation at a company is one that may lead to its collapse.

### Self Assessment

Fill in the blanks:

16. .... might disturb the staffing pattern as it can lead to vacancies for a particular position and retrenchments also.
17. .... involves administering a social system which is very complex.

## **5.6 Staffing Programme**

It is of key importance to make an adequate staffing program in order to achieve the successful staffing function in an organization.

### **5.6.1 Categories of Staff**

The library staff can be classified into following three categories. They are namely:

1. Professional
2. Supporting (administrative);
3. Supporting (technical)/para-professional.

Professional staff consists of those who are employed on professional jobs and possesses degrees in library science as well as in some other disciplines. These are further classified into professional senior, professional junior and professional assistant.

Supporting or technical staff plays important role in functioning of a library. They should possess the optimal library qualification as per the level of library sciences. The person should be at least matriculate. The following jobs may be carried out by supporting staff (technical):

- a. Accessioning of books.
- b. Typing of catalogue cards.
- c. Maintenance of issue-records.
- d. Registration of periodicals.
- e. Shelving of books and periodicals.
- f. Charging and discharging of books.
- g. Inter library loan work.

Non-professional library support staff traditionally holds what are considered to be low-paying, non-challenging positions. These negative factors make retaining creative and productive employees difficult.

### **5.6.2 Classification of Library Jobs**

Just as not everyone who works in a hospital is a doctor, not everyone who works in a library is a librarian. There are wide varieties of jobs to be done, and all are important. Whether it's putting the books on the shelves, paying bills, answering questions, hiring staff, or preparing a story time, they all must be done to keep the library running.

Job titles and descriptions vary from library to library, but there are some similarities. Look through the samples below to gain a better understanding of what type of job might be right for you:

- Pages are usually responsible for putting returned books and other items in their proper places on the shelves. They are also responsible for keeping items in the right order. Some handle requests for retrieving materials that are in secured areas and others may be responsible for checking items back in. Page jobs are usually part-time, with pay of roughly \$5.15 to \$8 per hour.
- Library Assistants or Technicians generally perform clerical duties, and are often mistaken for librarians as they are the first face people see, since most libraries' checkout desks are

near the entrance. Library assistants often check materials out and in, collect fines and fees, answer general phone questions, issue library cards, process new library materials, and assist with items on reserve. Library assistant jobs may be part-time or full-time.

- Librarians help people with homework and research questions, decide what items to purchase and to discard, offer programs and training, help people use the internet, build websites, and more. Specialized librarians may run computer systems, work with seniors and non-English speaking populations, become specialists in a specific subject area, or maintain the records for the online catalogue. Librarian jobs are often full-time, although most libraries also rely on a core of part-time and “substitute” librarians to help cover all of the hours many libraries are open.
- Library Managers such as department heads, branch managers, and assistant/deputy/associate directors, and are typically middle managers responsible for the operation of departments or other functional areas such as “all library branches.” As managers they may be responsible for work schedules, employee evaluations, training, and managing budgets. Branch managers, in particular, can have additional director-like responsibilities, such as overseeing the condition of the facility or involvement in local neighbourhood groups and projects.
- Library Directors have the main leadership role in the library. Typical duties include preparing and overseeing the budget, developing employment and service policies, strategic planning, public and governmental relations, reporting to the governing board or official, ensuring compliance with laws, fundraising, hiring, motivating and firing staff, and more. Directors’ duties and compensation can vary greatly depending on the size of the library. The director of a small rural library can literally be the only regularly scheduled employee with a salary of \$20,000 to the director of a large urban library with hundreds of employees and a salary of \$175,000.
- Other Professionals can play major roles in libraries. These may include jobs such as public relations, accounting and human resources, network administration, facilities management, transportation services and security. Rates of pay vary widely depending on the size of library, geographic area and skills and educational requirements.

### 5.6.3 Salary Scales

Salary of the employees refers to the reward or compensation given to the employees for their work performances. Remuneration leads to employee motivation. Salaries constitute an important source of income for employees and determine their standard of living. Salaries affect the employee’s productivity and work performance. Thus the amount and method of remuneration are very important for both management and employees. There are mainly two types of Employee Remuneration: Time Rate Method and Piece Rate Method.



*Notes* Remuneration provides basic attraction to an employee to perform job efficiently and effectively.

### 5.6.4 Training and Development

Training of employees in a library takes place after orientation takes place. Training is the process of enhancing the skills, capabilities and knowledge of employees for doing a particular job. Training process moulds the thinking of employees and leads to quality performance of employees. It is continuous and never ending in nature. Employee Training and Development

**Notes**

is essential to the ongoing success of every organization. Although technology and the internet have enabled global collaboration and competition, people are the organization's competitive advantage. Employee training and development enables employees to develop skills and competencies necessary to enhance bottom-line results for their organization.

Employee Training and Development is a key ingredient in performance improvement. However, the first step in designing an employee training and development program is to identify the training needs. The training needs are based on what is needed to achieve the organization's strategic objectives. Key steps for performance improvement include:

1. Assess and define performance improvement issues and gaps
2. Gain management commitment for performance improvement
3. Develop a business plan to manage performance improvement
4. Establish best practices for work processes and performance standards
5. Provide employee training and development to develop required skills
6. Establish new practices that support improved performance
7. Measure and monitor results and provide coaching where needed

**Self Assessment**

Fill in the blanks:

18. .... are usually responsible for putting returned books and other items in their proper places on the shelves.
19. .... of the employees refers to the reward or compensation given to the employees for their work performances.
20. .... is the process of enhancing the skills, capabilities and knowledge of employees for doing a particular job.



Case Study

**Organization and Staffing**

Jeff has recently taken a position as the collection development coordinator for a small county library, which has one large main library and one smaller branch library. The collection (all formats) consists of approximately 105,000 items and has increased by 60 per cent in the previous five years. The library is heavily used (8 per cent of the county residents have library cards) and well supported by the county, receiving reasonable budget increases annually. The total staff numbers seventy, most of whom are paraprofessionals. Before Jeff arrived, the library did not have a collections coordinator. They library does not have collection development policies for either the library as a whole or the various divisions of the collection. Individuals charged with selection do not have written descriptions of their responsibilities, no selectors' manual exists, and the library has neither a format nor an informal training program for selection responsibilities.

Over time and as the budget for collections grew, the assistant director has distributed selection responsibilities to twenty-five staff members, few of whom have graduate library degrees. Responsibilities are assigned variously according to Dewey ranges, formats,

*Contd...*

## Notes

language, and fiction genre. This distributed approach, though not as common as a more centralized approach with fewer selectors, has some advantages – Staff members feel engaged, excited, and empowered by the responsibility and are often selecting materials to meet the needs of the community they know well. The problems are lack of coordination, lack of communication, and difficulty managing the overall budget, which is Jeff's responsibility. Some staff members spend little time on selection and collection management activities, and some neglect other duties to focus much of their time on selection. Jeff needs advice on how to control and regulate the distributed selection system.

**Questions**

1. Suggest measures that Jeff can employ to improve the coordination of selection. Identify steps that can improve communication between the selectors and Jeff.
2. Suggest ways that fiscal accountability can be improved. If the current system with many selectors should be changed, suggest a more effective system and explain why it is so. List the advantages and disadvantages of the system proposed.

**5.7 Summary**

- Staffing is the process, through which competent employees are selected, properly trained, effectively developed, and suitably rewarded and their efforts harmoniously integrated towards achieving the objectives of the business.
- It is important to manage the staff; provided it is appropriately and with the upmost respect. Without proper management the organisation will be left with unhappy staff which leads to unhappy customers/ business.
- The recruitment and selection is the major function of the human resource department and recruitment process is the first step towards creating the competitive strength and the strategic advantage for the organisations.
- Recruitment process involves a systematic procedure from sourcing the candidates to arranging and conducting the interviews and requires many resources and time.
- Recruitment is the activity that links the employers and the job seekers. A process of finding and attracting capable applicants for employment.
- An internal recruitment strategy is characterized by promoting employees from within an organization to fill upcoming positions.
- An external recruitment strategy is one which a human resources department will systematically search the employee pool outside its own employees to fill positions.
- There are wide varieties of jobs to be done in a library, and all are important. Whether it's putting the books on the shelves, paying bills, answering questions, hiring staff, or preparing a story time, they all must be done to keep the library running.

**5.8 Keywords**

**Anticipated Needs:** Anticipated needs are those movements in personnel, which an organization can predict by studying trends in internal and external environment.

**Body shopping:** Body shopping is the practice of consultancy firms recruiting information technology workers in order to contract their services out on short-term basis.

**Notes**

**External Recruitment Strategy:** An external recruitment strategy is one which a human resources department will systematically search the employee pool outside its own employees to fill positions.

**Personnel Records:** Personnel Records are records pertaining to employees of an organization.

**Reassignment:** Reassignment is the movement of an employee to another position for which he/she qualifies at the same grade level and with an equivalent target grade or equivalent band level, if applicable.

**Recruitment:** Recruitment is the activity that links the employers and the job seekers.

**Staffing:** Staffing is the process, through which competent employees are selected, properly trained, effectively developed, suitably rewarded and their efforts harmoniously integrated towards achieving the objectives of the business.

**Training:** Training is the process of enhancing the skills, capabilities and knowledge of employees for doing a particular job.

### **5.9 Review Questions**

1. Discuss the staffing and the importance of library staffing.
2. Describe the process of recruitment.
3. What are the different recruitment needs?
4. What are the advantages and disadvantages of internal recruitment?
5. Differentiate between the internal and external recruitment.
6. List the problems involved in the process of staffing.
7. Explain the staffing program.
8. Explain the employer-employee relationships.
9. Describe the staff effectiveness.
10. Explain the following terms:
  - (a) Body Shopping
  - (b) Walk-ins
  - (c) E-recruitment
  - (d) Outsourcing

### **Answers: Self Assessment**

- |                        |                       |
|------------------------|-----------------------|
| 1. human relation      | 2. Staffing           |
| 3. Personnel           | 4. top management     |
| 5. Staff supervision   | 6. Discipline         |
| 7. records             | 8. assessment         |
| 9. Evaluation          | 10. Personnel Records |
| 11. personnel policies | 12. Recruitment       |
| 13. Anticipated        | 14. external          |



- |                         |              |       |
|-------------------------|--------------|-------|
| 15. Body shopping       | 16. Staffing | Notes |
| 17. Insufficient Budget | 18. Pages    |       |
| 19. Salary              | 20. Training |       |

### 5.10 Further Readings



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## **Unit 6: Library Finance**

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### **Objectives**

After studying this unit, you will be able to:

- Explain the need and purpose of financial management and its application in library and information centres (LIC).
- Describe its facets as far as libraries are concerned.
- Elaborate on the sources of finance and major categories of expenditure in different libraries.
- Explain norms and standards to work out financial estimates for different libraries.
- Analyse the value of financial management system in service-oriented and non-profit organizations.

## Introduction

## Notes

Libraries are not revenue earning institutions. Most of them are service components of academic and other institutional bodies. Hence they have a special obligation to manage their finances with great care and judiciousness. The public library service is generally free because it is supported by public funds, either through special grant from the government or through a library cess.

The importance of the provision of a continuous flow of adequate finance to libraries cannot be exaggerated. A few principles, however, are required to be kept in view, as finance is also an instrument of control and evaluation.

No study of an important public activity like library services can be complete and fruitful unless it also covers financial aspects. A basic knowledge of library finance, library expenditure, budgeting and accounting is, therefore, very important for any librarian or student of library science.

## 6.1 Financial Management

Financial management is not just managing cash or providing funds. It is the study of the principles and practices involved in the financial operations of an institutions, industry or state. The finance function is the task of providing funds needed for the enterprise i.e., provision of funds and their effective utilisation. It deals with the problems and procedures of acquiring, distributing and effectively utilising funds, balancing of revenue and expenditure and accounting of the entire transactions for better control and evaluation. In other words, important phases or components of financial management are:

- Financial planning
- Forecasting of receipts and disbursements
- Realisation of funds and revenues
- Allocation of funds
- Utilisation of funds
- Financial accounting
- Financial control
- Financial auditing

However, the library has a major share of responsibility in estimating its own financial requirements, preparing a budget for its functions, activities and programmes, managing the funds appropriated and spending within the specified period, maintaining accounts, and finally preparing a report.



*Notes* The task of finding money; investing funds, managing property and getting the sanction for the budget and all other related matters of finance are the responsibility of the central executive authority of the parent organization to which the library belongs.

### 6.1.1 Principles of Financial Management

For effective financial management, some guiding principles are necessary. An understanding of these principles is useful. These are:

1. Effective Control
2. Simplicity
3. Regularity and Farsightedness
4. Economy
5. Flexibility

These principles are explained as follows:

1. **Effective Control:** Financial management can work efficiently only when it is controlled properly. The method of financial control should be simple and easy. Control is also necessary for the economical use and channelization of resources so that there is little wastage and the limited financial resources can be put to maximum use.
2. **Simplicity:** Procedures for financial management should be simple and easy to operate. Simplicity results in efficiency and economy.
3. **Regularity and Farsightedness:** Financial management programmes should have a typical timetable so as to acquaint everybody with what he/she is expected to do at a particular point of time. For example, in the preparation of the budget for a library, inputs should come from the heads of sections who would in turn expect cooperation from their staff. The preparation of the budget would be time-bound and the budget should be submitted to the authorities on time so that the budgetary sanctions can be obtained in time to operate it. Similarly subscriptions to current journals should be sent to the publishers at a particular time of the year. Sticking to a timetable facilitates advance thinking and preparation. Not only present needs but future requirements should be kept in view when making provisions for finance.
4. **Economy:** Economy should be affected in any activity and every activity, more so in financial matters. All precautions should be taken to avoid unnecessary expenditure and wasteful use of scarce finances.
5. **Flexibility:** Financial management should keep in mind the virtues of elasticity so as to learn scope for adjustment according to circumstances. Only then can it be successful in times of emergency and crisis. But this does not mean that one should take undue advantage of its flexible nature. There are provisions and practices in utilising or diverting funds appropriated for a certain item of expenditure to the purchase of books or any equipment. But this flexibility should be within the framework of financial rules and procedures. This type of adjustment usually is done at the fag end of the financial year when unutilised funds are available in other items.

While these principles are useful in operating and managing finances in libraries, there are statutory financial rules and procedures laid down by the executive authorities. Libraries have no option but to follow financial rules.

The other related fields which need to be kept in mind by library and information professionals include cost accounting and economics (particularly welfare economics and theory of production), various tools and techniques of financial management, economics and cost accounting like funds flow analysis, ratio analysis, break even analysis, operating and financial averages. Financial forecasting, capital budgeting, economic theory, theory of production, costing, etc. have adequate scope for application in library and information centre management.

## 6.1.2 Financial Management in Service-oriented and Not-for-profit Organizations

Notes

Information centres are paternalistic, service-oriented and not-for-profit organizations. Financial management in such organizations is more complex and important than in profit-oriented organizations. Money management in service-oriented and not-for-profit organizations (NFP) involves systematic planning, getting funds, judicious spending and meticulous accounting of funds.

There are certain difficulties in the financial management of service-oriented and not-for profit organizations. The problem becomes acute if the budgets of such institutions are not planned as part of the planning of the parent body and if they worry more about accounting than planning.

Among the important characteristics of service-oriented and not-for-profit organizations are these are normally labour intensive compared to profit-oriented organization, will not have any inventory of services, will have dominance of professionals and the quality of service cannot be inspected and measured in advance i.e., before rendering the service.

Further, there appears to be lack of a profit measure in such institutions and the absence of a profit motive treasure is quite typical to service-oriented and not-for-profit organizations. Profit-oriented organizations measure their output by the amount of revenue earned based on prices charged for goods and services sold. For individual profit centres, revenue is measured by transfer prices. Service-oriented and not-for-profit organizations either should devise similar monetary measures of output or rely on non-monetary measures. By and large, the output measurement is a problem in service and NFP institutions.

Generally, there is no single criterion to measure the success of such organizations. Multiple objectives, lack of a relationship between costs and benefits and difficulties in measuring performance and comparing performance of different units of the same organization are some peculiarities of such organizations.

There appears to be no direct relationship between the costs and benefits in service organizations. There is a clear difficulty in measuring the performance of service-oriented and not-for-profit organizations. Further, due to dissimilar functions, the organizational units cannot be compared in service-oriented and not-for-profit organizations.

Market forces play a less significant role in service-oriented and not-for-profit organizations. Due to lack of shareholders, there appear to be differences in ownership and power. Consequently, there is a tendency for service-oriented and not-for-profit organizations to be political organizations.

Historically the cost accounting and other control techniques were developed for manufacturing (i.e., profit-oriented) companies and hence they have less applicability to service-oriented and not-for-profit organizations. Further, inadequate management controls have become a tradition in such institutions. Lastly, most service organizations are relatively small and operate at a single location.

Information centres have not given adequate attention to output measurement. In the absence of a monetary output measure, certain non-monetary measures could be employed by service and NFP organizations. The non-monetary output measures could be classified in many ways. They can be subjective or objective, discrete or scalar, quantitative or qualitative. Important non-monetary output measures are:

1. Results measures
2. Process measures
3. Social indicators
4. Inputs as proxy output measures

Notes

Self Assessment

Fill in the blanks:

1. ....results in efficiency and economy.
2. .... forces play a less significant role in service-oriented and not-for-profit organizations.
3. .... are paternalistic, service-oriented and not-for-profit organizations.



Caselet

**Metropolitan Public Libraries**

**T**he Urban Libraries Council published Governance and Revenue Structures: New Field Data on Metropolitan Public Libraries, Analysis and Conclusions – April 2004. A total of 96 libraries participated in the survey.

This study found that funding for metropolitan public libraries continues to come predominantly from local sources, in particular from dedicated taxes. ULC reports that the use of private funding arms, both development departments and non-profit foundations, are on the rise. Currently

- 64 of the reporting libraries currently have 501(c)3 library foundations.
- 30 have development departments.

When surveyed on what the biggest challenge to public revenues is today, Urban Libraries Council members agreed—three to one—that the challenge is the adequacy of library funding, rather than the stability of that funding.

The taxing capacity of libraries is varied:

- 30 of the reporting libraries have the capacity to levy taxes.
- 21 have bond capacity.
- 4 have excess levy capacity.
- 2 have sales tax capacity.

A small number of library boards have direct authority related to taxes and bonds:

- 14 of the reporting libraries can call for a tax election.
- 16 can call for a bond election.
- 16 can authorize new taxes.
- 12 can authorize new bond levies.

**Diversity of Revenue Streams**

**Local Sources:** Local sources of revenue are the primary source of public library funding. 53% of libraries report receiving 90% of their funds from local revenue streams.

For another 29% of libraries, local sources represented 80-89% of total operating budget revenues in 2003.

Contd...

## Notes

At the local level, the primary revenue sources are dedicated property taxes and General Fund appropriations:

- 53 of the reporting libraries are supported with dedicated property taxes.
- 47 receive General Fund appropriations.
- 25 receive local capital bond support for operating revenues.
- 2 are supported with dedicated sales taxes.
- 12 are supported with other dedicated taxes.

San Jose Public Library (CA) has a library benefit assessment district. Carnegie Library of Pittsburgh (PA) is partially funded with Allegheny Regional Asset District assessments.

Residents in Michigan can “speed to the library” as the state law authorizes library revenue from fines associated with local speeding tickets.

**State Sources:** Some libraries report heavy reliance on state sources. The Cincinnati Hamilton County Library (OH), as a result of state law provisions, receives 95% of funding from the state. Minneapolis (MN), Enoch Pratt (MD), and East Baton Rouge libraries (LA) all receive approximately 40% of their funding from state sources.

- 12 of the reporting libraries have access to state general fund income tax.
- 9 have access to state general fund sales tax.
- 7 have access to state general fund property tax.

Other dedicated state tax sources are less common. Skokie (IL) receives a small amount of revenue from the corporate replacement tax. Ft. Vancouver Regional Library (Canada) receives funds from the timber tax.

Other state tax supported general funds include:

- General fund appropriations – Anchorage (AK), Buffalo & Erie County (NY), and Detroit (MI).
- Brooklyn Public (NY) receives appropriations from the State Department of Education.
- El Paso (TX) receives appropriations from the Technology Information Fund.
- State aid funds are provided for in Arizona, California, Florida, Louisiana, Maryland, Michigan, Missouri, and Oklahoma.
- Grants from state library agencies and contracts for special services include Milwaukee (WI) for blind and physically handicapped services and Queens Borough (NY) receives state money for adult literacy services.
- Other grants include a Ready to Read grant to Multnomah County (OR).
- Dedicated State Fee Revenues: Solano County (CA) receives a percentage of impact fees collected in new growth areas.

**Private Sources:** Most libraries are funded from private sources only in a marginal way.

Entrepreneurial endeavours reported include:

- 22 reporting libraries have bookstores.
- 34 have rental space.
- 19 have coffee shops.

**Source:** <http://www.cosla.org/documents/kb/Funding%20for%20Public%20Libraries%20-%20October%202007.pdf>

## 6.2 Sources of Funds

Library finance includes both the funds appropriated to a library and its expenditure. Libraries depend heavily on a continuous supply of funds for organising their activities, programmes and services. In dealing with this, ensuring a continuous supply of funds not merely on a yearly basis but over a period of time, i.e., three or five years is very important. Finance plays a very significant role in the organisation and management of any institution, more so in the case of libraries which have to acquire and build up a collection on a continuous basis throughout the year and even longer. With the increasing costs of books and journal subscriptions, it would be impossible to plan a collection development programme, consistent with the needs of users, without an ensured supply of funds. While appropriations are made for the acquisition of books and journals, funding bodies quite often overlook or underestimate the necessity of funds for processing the acquired materials and making them available for use. So, competent persons should invariably process the expenditure on books. Further, a regular flow of funds ensures the rhythm and tempo of the user services. These services have to run on a continuing basis. Unless adequate funds are provided for all these activities, libraries will remain ineffective.

Different types of libraries receive funds from different sources, though some sources are common, such as government grants. The greatest percentage of operating funds increasingly comes from public funds raised through taxes. Funds are required on a continuing basis (paternalistic nature of library) and a judicial estimation of funds required has to be done well in advance. The sources of funds for libraries can be broadly grouped as follows:

1. Regular grants from parent body (public fund raised through taxes).
2. Ad hoc grants from other departments/institutions (public fund).
3. Grants from endowments and charitable institutions.
4. Fees, subscriptions, sale of service and miscellaneous revenues earned by the library (*ad hoc*, non-recurring and meant for specific purposes with restrictions on allocation and use).
5. Some libraries impose fines on the late return of books as well as for loss or misuse of books. Income from this source is very meagre. As a matter of fact, it cannot be considered as a source of income, because the aim of the fine is not to raise revenue but to compel the user to return the borrowed book in time and not to damage or lose it during his/her possession. Moreover, libraries may not have the authority to re-appropriate amount collected as fine or overdue charges for any purpose.

Miscellaneous sources may consist of money received by the sale of library publications and waste paper, reprographic services, translation and other documentation services rendered, etc. These services are rendered by libraries usually on a non-profit basis. Normally, such (limited) funds are added to the general fund of the parent organization for allocation through normal budgeting.

The financial support given to libraries is of two types: (i) recurring and (ii) non-recurring. The recurring grants are generally given for the purchase of books and periodicals, maintenance of regular services, and for anticipated contingent expenditure. The non-recurring grants are given for specific purposes such as construction of library building, purchase of furniture and equipment and sometimes for special collections. The third type of grant, known as an ad hoc grant is given on special recommendations for special purchases.



*Task* Make a report on the sources of funds of your college library.



## 6.2.1 Academic Libraries

Notes

Academic libraries involve the following libraries:

- (a) **University libraries:** University libraries receive their funds, in varying degrees from two sources. They get financial support from the universities out of their own Ends and as special grants from both the University Grants Commission and the state governments.

The UGC grants are mainly plan grants, whereas the state government grants are mainly non-plan grants. However, government grants are not given to the libraries directly.

Usually the government gives grants to the university and then the university allots to the library the necessary share out of the same. Grants from the University Grants Commission are mainly of three types – recurring, non-recurring, and ad hoc.

Few university libraries charge a fee from their student members for the use of the library. A charge or fee for library use is not made without protest from users. These days there is a growing feeling that the university should provide library services free of charge, just as it provides lecture rooms, laboratories, and other facilities free.

- (b) **College libraries:** A question often asked is “How much does it cost each year to run a good library?” The amount will vary from college to college, depending on the nature of the curriculum, the quantity and quality of service expected, and the quality of the present collection. The total student strength in a college is another criterion to be taken into consideration while allotting funds for the library. The problems of financing the library of an established institution are very different from those of a new college. The needs of the former are confined to acquiring materials to remedy weaknesses and to keep the collection up-to-date; the latter must provide for a complete basic collection.

There are three main sources of funds for college libraries. The principal source is the allocation from the current operating funds of the college. Whether the college is public (government) or privately controlled matters less in this connection than the amount of additional money the library may need during any one budgetary year. Sometimes a part of the Amalgamated Fund Collection is given to the college library for the purchase of reading materials. Occasionally some portion of the contingency grant of the college is made available to the library by the principal. A second source of income for college libraries is grants, individual gifts, and endowments. But this is not very popular in India. A large number of college libraries throughout our country receive grants from the University Grants Commission. Other sources of income for college libraries are subscription/membership fee charged from the students, and annual recurring and non-recurring grants from the state government concerned or the governing body of the institution.

- (c) **School libraries:** Promoting a good library service in schools depends very much on finance. In the case of middle schools, lower fee rates for library services can be fixed as there will be less expensive books needed for students of lower classes. At present there are no fixed norms for the provision of finances to school libraries in India.

The library fund of a school should preferably comprise a fee collected from pupils, and equal contribution from the management, a matching contribution from the government or local body, other gift or special grants that may at any time be received specifically for the library and donations from the public.

The library fee collected from students should be spent exclusively on books and equipment. The state government or any education authority administering the school should meet the initial expenditure on setting up of the school library including cost of new library

**Notes**

buildings and the initial expenditure on fittings and books covering the basic stock needed as a nucleus for library activities.

### **6.2.2 Public Libraries**

The main sources of public library revenues are subscriptions, a library cess, and grants from the government and endowments. Considering the library subscription as a source of funds is widely disputed. An equally forceful opposite view is that subscription defeats the whole concept of a free public library service advocated by Ranganathan. The report of the Advisory Committee for Libraries, Government of India (1957), also supports the inadvisability of considering subscription as a source of revenue. The Advisory Committee describes such subscription libraries as “stagnating pools.”

Of the five States of the Indian Union which have library legislation, some, viz., Tamil Nadu, Andhra Pradesh and Karnataka, have provision for a library cess. Tamil Nadu and Andhra Pradesh Library Acts have provided for a cess in the form of a surcharge on land and property tax at the rate of six per cent. The Karnataka Act has provided for a library cess in the form of a surcharge at the rate of three per cent not only on land and house tax but also on octroi duty, vehicle tax and professional tax. In addition to the library cess, Karnataka public libraries receive a grant from the government equivalent to three per cent of the total land revenue collection. The other two states i.e., Maharashtra and West Bengal, have not proposed any library cess. In these states the respective governments have made provision for grants for public libraries. Experience shows that library cess/rate alone cannot be sufficient to meet the continuously growing needs of public libraries. Besides, the taxable capacities of various local areas differ, thereby making standard and uniform public library service throughout the country difficult.

A public library service should be totally supported by regular budget grants of the government, just like education, public health and so on. Unfortunately, in many countries including India, this is not the position. As a result finances for public libraries have become inadequate. Only library legislation at the national level can change things for the better. It would be proper for the government to provide for the initial expenditure, while recurring demands of the libraries should be met from the proceeds of library cess, etc. Moreover, the local authorities should be encouraged to collect more funds by giving them matching government grants.

Endowments, charitable trusts and private benefactions could be another source of public library revenue. In countries like the USA this is a common feature, whereas in India it is not so. The financial demands of the libraries are recurring in nature whereas endowments may not be so. Hence endowments and benefactions, though welcome, should not be taken as a permanent or continuing and adequate source of income. Endowments can best be used for constructing library buildings, acquiring furniture and fittings and so on.

Other sources of public library revenue are fees and fines, gifts in cash or kind. The income from these sources is generally very meagre and cannot be considered a significant source of revenue.

### **6.2.3 Special Libraries**

Special libraries get their funds from appropriations made by their respective parent organizations. Whenever the parent body takes up a new project or programme, which needs library and information support, adequate finances may be provided to the library to meet the special support facilities. The library is expected to ask for funds for any additional or special services which are usually examined before funds are provided for such services. In addition, ad hoc grants from governmental agencies are obtained for specific purposes. Of late, special libraries have been seriously considering the ways and means of generating part of their own resources.

**Self Assessment**

Notes

Fill in the blanks:

4. Funds are required on a ..... basis, this is the paternalistic nature of library.
5. The ..... grants are generally given for the purchase of books and periodicals, maintenance of regular services, and for anticipated contingent expenditure.
6. The ..... grants are given for specific purposes such as construction of library building, purchase of furniture and equipment and sometimes for special collections.
7. The third type of grant, known as an ..... grant is given on special recommendations for special purchases.
8. .... can best be used for constructing library buildings, acquiring furniture and fittings and so on.

**6.3 Financial Estimation**

By now you have realised the fact that the success of any institution depends upon an adequate and regular flow of finances. This is true of libraries also. Just like the government, institutions, individuals and families attempt to make financial estimations of their needs and resources, libraries also have to prepare financial estimates. How to estimate, on what basis, and how much finance a library requires depends upon the age, jurisdiction, quantity and quality of reading material, number of readers, and other factors' relating to that particular library.

Some important bases for financial estimation for libraries are:

- (i) User population and its composition
- (ii) Material to be acquired (media, nature and type of information source)
- (iii) Services to be provided vis-à-vis objectives
- (iv) Hardware and software requirement
- (v) Unsatisfied service pressures, if any, are the most frequently used factors in determining the financial needs of a library
- (vi) Established national and international standards for quality in services often expressed as minima of materials, personnel and operational funds for a given size of library
- (vii) Increase in prices of reading materials and inflation.

Three methods generally used for estimating library finances are discussed below:

**6.3.1 Per Capita Method**

In this method, a minimum amount per head is fixed which is considered essential for providing standard library services. The educational and cultural standards of a community, the expectations of its future 'needs,' the per capita income of the society, the average cost of published reading material, and the salary levels of the library staff are the common factors that go to determine the per capita library finance in public and academic libraries. The per capita estimate can be based either on the number either of literate persons or of adults. However, the safest method is to calculate library finance per head of population.

Tice University Grants Commission Library Committee recommended that a university should provide ₹ 15 per student and ₹ 200 per teacher for acquiring reading material for its library. The

**Notes**

Kothari Education Commission (1964–66), however, recommended that as a norm, a university should spend each year about ₹ 25 for each student and ₹ 300 per teacher. Ranganathan suggested that per capita expenditure on university and college libraries should be ₹ 20 per student and ₹ 300 per teacher or ₹ 50 per student. In schools, per student appropriation at the rate of ₹ 10 should be made available for the library. For public libraries, Ranganathan suggested a 50 paise per capita expenditure way back in 1950. Now, the per capita figure must be much higher and this is the inherent limitation of the method as it does not provide for inflation and devaluation.

**6.3.2 Proportional Method**

This method presupposes that the authorities provide adequate finances to the library out of their regular budget, and that a particular minimum limit is fixed. A generally used measure of adequate support is the percentage of the institutional budget which is allocated for library purposes. Various standards have been recommended for deciding this limit in India. The University Education Commission had recommended that 6.5 per cent of a university’s budget would be a reasonable expenditure on its library. The Commission suggested that “this expenditure could vary from 6.5 to 10 per cent, depending on the stage of development of each university library”. In practice, the majority of the universities in India hardly spend three per cent of their total budget on their libraries. It is generally agreed by most authorities that a college should allocate to the library four to five per cent of its total expenditure. Ranganathan suggested that either 10 per cent of the total budget or 6 per cent should be earmarked for public library purposes. This method is likely to lead to a high disparity in case of special libraries as the budgets of high technology and capital intensive organizations are much larger than the budgets of pure research, social science and humanities institutions.

**6.3.3 Method of Details**

According to this method all items of expenditure of a library are accounted for while preparing the financial estimates. These are of two types, viz., (i) recurring or current expenditure and (ii) non-recurring or capital expenditure.

For estimating public library finances, Ranganathan suggested the circulation of recurring/current expenditure and non-recurring/capital expenditure. The Advisory Committee for libraries, Government of India followed almost a similar method for estimating the financial requirements for establishing a countrywide public library system.

The UGC Library Committee in its report suggested a staff formula for finding out the quantum of library staff members of various categories required for college and university libraries. It has also laid down their respective pay scales. The total amount required for meeting the cost of the staff can be calculated by this formula. For cost of books and other reading materials, the Committee has suggested a per capita expenditure formula.

Lastly, a suitable combination of the above methods may be ideal in some situations.



*Caution* The foundation of proper financing depends upon correct and effective estimation.

**Self Assessment**

Fill in the blanks:

9. In ..... method, a minimum amount per head is fixed which is considered essential for providing standard library services.

10. .... presupposes that the authorities provide adequate finances to the library out of their regular budget, and that a particular minimum limit is fixed.

Notes

## **6.4 Library Expenditure Planning**

Expenditure is the second important aspect of financial management. Library expenditure occupies the same place in the study of financial management as consumption does in the daily life of an individual. As consumption is the end of all economic activities, so also library expenditure is the end of all the financial activities of a library.

### **6.4.1 Importance of Library Expenditure**

Just as you spend money on your books and studies, so do libraries spend money on books and periodicals, readers' services, references and bibliographical services, documentation and information services, etc. The objective behind all these is the supply of the right document to the right reader at the right time. The library expenditure is generally undertaken to satisfy the intellectual requirements of the readers and provide those documents which the readers in their individual capacity cannot and do not want to purchase. Besides, no individual can purchase all the literature which comes out of the printing presses of different countries, on different subjects, in various languages, and in diverse forms. The only agency which can acquire process and make available all this literature to readers is the library. All this means spending money and more money.

### **6.4.2 Nature of Library Expenditure**

There are three major characteristics in the nature of library expenditure:

- (i) **Library is a spending institution:** Libraries, unlike many government departments, are not revenue-fetching agencies. They are spending institutions, and they participate in nation-building activities. The money spent by the library is a long-term investment in human capital.
- (ii) **Library is a growing organism:** The library trinity of documents, readers and staff always grows. It implies that the requirements of the library will always go on increasing day by day. All this means more expenditure.
- (iii) **Library expenditure is recurring:** Libraries are not only spending and growing institutions, they are also permanent bodies. In an era of educational advancement, library services will have to maintain a continuous rhythm to cope with the academic requirements of the clientele. This means that library expenditure is recurring in nature.

### **6.4.3 Principles of Library Expenditure**

Library expenditure consists of the following principles:

- (i) **Principle of maximum aggregate benefit:** The library exists for the service of different types of readers. Therefore as a librarian, you should be neutral, and should see that no particular individual is specially benefited by your expenditure policy. You should plan your library expenditure in such a manner that the majority of readers derive maximum benefit of library use.
- (ii) **Principle of advance planning:** Library expenditure should be planned in advance and a proper estimate should be made for different items so that adequate and balanced revenue may be allotted to different heads. Orders should be placed in advance so that the needed materials are acquired in time. The librarian should avoid last minute purchases.

Notes

- (iii) **Principle of equitable allocation:** Library funds should be equitably allocated for spending on different types of reading material covering various subject areas. For example, books on science and technology are costlier than language books. Costly reference books become out of date faster in some subject areas than others. However, in special libraries their principle may be applicable as most documents have to be spent in reference and periodical literature. All such factors are to be taken into consideration while spending money for library use.
- (iv) **Principle of economy:** It means that you should not spend more than the necessary amount on any item, and the expenditure should not exceed your sanctioned grant. Duplication should be avoided, because the extra amount thus saved could be better spent on purchasing new alternative titles covering additional subject areas.



*Did u know?* Normally, 70% of the publication grant is allowed for periodicals.

### 6.4.4 Classification of Library Expenditure

Generally speaking, money spent on buildings, costly equipment and furniture is shown against capital expenditure, and other items which occur almost throughout the year like books and periodicals, stationery and postage, binding and contingency, salaries and wages, etc. are shown against current expenditure. However, you can classify library expenditure according to different heads, viz. (a) salaries and wages, (b) binding, (c) stationery, (d) postage, (e) contingency, (f) books and periodicals, (g) furniture, (h) building, (i) equipment, and (j) publications.

### Self Assessment

Fill in the blanks:

- 11. Libraries are ..... institutions, and they participate in nation-building activities.
- 12. It is also necessary to estimate ..... to be allocated to libraries.
- 13. Principle of ..... means that you should not spend more than the necessary amount on any item, and the expenditure should not exceed your sanctioned grant.



*Case Study*

### Sources of Funds in Academic Libraries in Delta State, Nigeria

**A**cademic libraries are those attached to universities, polytechnics, college of education and other similar institutions of higher learning. The importance of funding in providing quality library service cannot be overemphasized. It is the glue that holds the building, collection and staff together and allows the library to attain its goals. As such, money can be considered the soul of the library. Inadequate funds impede the effectiveness of any library (Anafulu, 1997).

It is absolutely essential for a library to possess the resources that will enable it meet its goals. Beautiful building, well trained staff and modern information storage and retrieval systems can only be appreciated if excellent services are rendered to users. These services cannot be provided without adequate finance. The American Library Association (2006)

*Contd...*

## Notes

notes that libraries of all kinds need money. The amount of funding that a library receives directly influences the quality of its services. While the majority of funds for libraries come from state and local sources, federal funding provides critical assistance, giving libraries across the country the financial support they need to serve their communities.

Like water and air, libraries have become an integral part of human existence. Often called the memory of human race, libraries are supposed to have on their shelves the records of almost everything which man has thought, dreamt of and invented. All these demand that, academic libraries should be adequately funded to be able to carry out these functions (Ifidon, 1992).

Libraries are organic. This is to say that they grow or shrink with time depending on how much life is infused into them. Fund is needed to provide the information needs of the academic library. The academic library is a social service organization that is capital intensive. Money is needed for building, physical facilities, books, journals, electronic resources, personnel, etc. (Ehigiator, 1997).

The library is invariably a part of a wider organization – an arm of government, university, school, and research institute or business concern as the case may be. Its budget therefore is negotiated with its parent organization. The parent body is therefore the proprietor that takes full responsibility for its funding. Academic libraries are financed from the budgets of their parent institutions. These funds usually cover only the current expenditure. But sometimes, libraries are supported by government ministries particularly Ministry of Education (Akporhonor, 2005).

According to Emojorho (2004), Nigerian government owned university libraries derive funds from government allocations, endowment funds, library fees, gifts and other miscellaneous sources such as the sale of duplicate materials, fines and photocopying; that the bursar integrates and collates the various estimates from the various departments. The estimates are then channelled through and defended, at the following six levels:

1. **Library committee:** the librarian presents and explains his budget estimate.
2. Development and Estimate committee, the librarian defends his budget estimate.
3. Finance and general purposes committee.
4. The university council.
5. The National University commission/commission of higher Education.
6. Ministry of finance and education Development- through the ministry of education.

In academic libraries, the budgetary procedure starts with the bursar who sends out a notice to the librarian asking for preliminary budgets estimates. When the librarian receives this notice, he and the various sectional heads of the library meet and draw up the budget estimate which is then sent to the bursar. Funds for library and information services are traditionally derived from the library's proprietor. The extent of such revenue varies from fixed fraction of received grant to ad-hoc arrangement (Edoka, 1992).

Hisle (2002) pointed out that: academic libraries in developing countries depend mainly on government funding and they do not show any interest or experience in well-organized fundraising for several reasons:

1. Citizens used to give donations to other types of libraries, mainly public libraries.
2. Lack of flexible administrative systems.

Contd...

Notes

3. No clear responsibility for organizing fundraising campaign is assigned, either to librarians or university administrators. Library funds are accumulated from a mixture of local, state, federal, and other sources.

Funding models for academic libraries vary greatly, depending on whether the institution is private or public, a particular state's budgetary regulations and funding formulas for higher education and the overall budgetary situation of each university. American Library Association (2006) stated that academic library budgets are allocated by the central university administration based on historic formulas or outdated needs, and libraries follow their institutional policies and mandates regarding budgets.

Occasionally, an institution provides funding for its library through individual colleges and departments instead of centrally setting the library budget. In that case, each department or university unit decides whether or not to fund the library each year based on satisfactory library service as well as need. In most cases, academic library budgets are not allocated separately from the university budgets. For some libraries, budget is allocated partially for acquisition, while other aspects such as staff and furniture are part of the university budget. This arrangement does not meet the library needs (Hisle, 2002).

Nigerian academic and research libraries derive the major part of their financial support from the government. Ifidon (1990) found that university libraries derive the greatest part of their funds from their universities, whose major sources of financial support is the government. Of all the different types of libraries in Nigeria, only university libraries have a clearly defined policy on funding. They are allocated 10 per cent of the recurring annual budget of their parent universities, a result of the Federal Government and Academic Staff Union of Universities agreement of 1992 (Okiy, 2005). Funds for library and information services are traditionally derived from the library proprietor. The extent of such revenue varies from fixed fraction of received grant to ad hoc arrangement (Edoka, 1992).

According to Anafulu (1997) the university library is only one of numerous units in a university. By its centrality and role in the endeavours of the university – teaching, research and extension work – it is a major unit and a vital one at that. Notwithstanding these considerations however, the fact is the university library does not generate its own income and does not receive grants directly from the proprietor. The general financial environment of the university is such that allocations are made to the library, but apart from small imprest accounts, no money is held in the library. Omotayo (1997) opined that libraries derived their funds from the host university. Therefore as university financial situation dwindled so also the allocation to the library.

**Questions**

1. What are the sources of funds for an academic library?
2. In the above context, explain the importance of funding in academic library.

Source: <http://www.webpages.uidaho.edu/~mbolin/uboku-okiy.pdf>

**6.5 Summary**

- This unit deals with the financial management of libraries. Financial management in service and NFP organizations has several problems attributable to the characteristics of such institutions.
- Libraries, being service institutions, seldom earn revenue and hence have to be funded almost entirely by their respective parent organizations or by governments as in the case of public libraries.



- Adequate and continuous supply of funds is necessary to sustain library and information services.
- There are a number of sources like regular grants from parent organisations, ad hoc grants from other organizations, grants from endowments, fees, subscriptions, sale of service, etc., through which finance for libraries flows.
- Libraries spend their funds on books and journals, salaries and allowances of their staff, development of library, documentation and information services, building, equipment, furniture, etc.
- It is also necessary to estimate funds to be allocated to libraries. Three methods are generally considered, viz., per capita method, proportional method, and method of details.
- Libraries have, by and large, restricted their financial management to preparing a budget and managing their operational fund to procure reading materials.
- Most of the exercises of costing and cost benefit analysis are academic in nature and have not led to any significant changes in decision making by librarians.
- The economic theory of the library is still a little known phenomenon for many practitioners.
- A vast array of financial management techniques and tools is largely unexplored in the library content.

## 6.6 Keywords

**Breakeven Analysis:** The point at which consumption expenditures have been just equal to income.

**Capital Budgeting:** A budget which mainly covers items of current revenue and expenditure.

**Economics:** It is descriptive and concerned with what is and what ought to be. It deals with the relationship of inputs to output and eventually to supply, demand, markets, sales, prices, value, utility, etc.

**Elastic:** Ability to recover readily from depression, adversity or the like.

**Financial Estimation:** Estimating the amount of money required for running the services of an Estimation institution.

**Financial Forecasting:** It involves a systematic projection of expected actions of management in Forecasting terms of financial statements, budgets etc. using past records, funds flow behaviours, financial ratios and expected economic conditions in the industry and the firm.

**Financial Management:** An element of management dealing with acquisition, distribution and Management utilisation of funds.

**Library Expenditure:** Money spent by a library on different heads such as purchase of reading Expenditure materials, salaries and allowances, stationery, postage, furniture, equipment, etc.

**Library Finance:** Sources of financial flows and expenditures.

**Library Income:** Funds which accrue to a library from different sources such as grants, membership fee, endowments, fines, service charges, sale of publications etc.

**Macroeconomics:** This is an industry and national level economic system with the objective of maximising profit, e.g., Economics of information and information industry.

**Microeconomics:** This is concerned with the behaviour of individuals, firms and markets.

**Notes**

*Non-plan Grants:* Regular budgeted grants given every year.

*Non-recurring Expenditure:* Expenditure that does not repeat every year, e.g., monthly report on building, equipment, machinery etc.

*Plan Grants:* Funds made available on projects that go under annual plans, five-year plans, etc.

*Recurring Expenditure:* Expenditure that repeats every year, e.g., books, journals, staff salaries, etc.

*Welfare Economics:* An economy which seeks to increase the satisfaction of individuals in a society.

### **6.7 Review Questions**

1. List the components of financial management.
2. State the principles that govern financial management.
3. Enumerate the characteristics of service-oriented and not-for-profit organizations.
4. State how public libraries get their funds. Give your answer in four sentences.
5. What are the sources of raising funds for academic libraries?
6. List the methods of estimating funds for libraries.
7. Elaborate the principles of library expenditures.
8. What do you understand by ad-hoc grants?
9. Differentiate between recurring and non-recurring expenditure.
10. State the major items of expenditure of libraries.

### **Answers: Self Assessment**

- |                        |                         |
|------------------------|-------------------------|
| 1. Simplicity          | 2. Market               |
| 3. Information centres | 4. Continuing           |
| 5. Recurring           | 6. non-recurring        |
| 7. ad-hoc              | 8. Endowments           |
| 9. Per Capita          | 10. Proportional Method |
| 11. Spending           | 12. funds               |
| 13. Economy            |                         |

### **6.8 Further Readings**



Books

C.K. Sharma, Kiran Singh. 01-Jan-2005. *Library Management (Vol 1)*, Atlantic Publishers & Distributors.

D. K. Pandey. Jan, 2004. *Library and Information Science*. Atlantic Publishers & Distributors.

Richard E. Rubin. Third Edition. *Foundations of Library and Information Science*. Neal-Schuman Publishers New York London.

**Notes**



*Online links*

[http://www.michigan.gov/documents/hal\\_lm\\_finmanref8\\_66308\\_7.pdf](http://www.michigan.gov/documents/hal_lm_finmanref8_66308_7.pdf)

<http://www.icpl.org/policies/401-finance.pdf>

<http://www.webpages.uidaho.edu/~mbolin/uboku-okiy.pdf>

## **Unit 7: Budgeting**

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### **Objectives**

After studying this unit, you will be able to:

- Define the meaning of budgeting and financial planning
- Explain the different budgetary methods, budgetary standards, norms and principles
- Describe the process of budget preparation, budgetary control, accounting and auditing
- Explain the value of library budget which serves as an instrument of control

## Introduction

## Notes

In the preceding unit you have learnt about the financial management of libraries in general and sources of funds, financial estimation and planning for library expenditure. In this unit you will learn what a budget is, why it is required in libraries and information centres, how it is operated and what its advantages and disadvantages are. This unit deals with the important phase of financial management, namely, budgeting, financial control and accounting. The library being an expenditure-oriented institution, the central aspect of financial management is the budget which is a statement of income and expenditure, providing guidance in spending the appropriated funds through a period of time. It is also an instrument of control, communication, co-ordination, evaluation and motivation. In this unit, we shall study the basic features of a library budget.

The preparation of the library budget is a major responsibility of the librarian and his staff. In fact, the budget is a reflection of the current and future activities, programmes and plans of the library. It has to be prepared with the cooperation of all senior members of the staff and within the framework of rules, procedures and guiding principles. It is necessary to justify expenditure on every item, particularly when more funds are to be earmarked for any running activity or proposed new programme. Accounting as a means of recording library expenditure according to established rules and procedures and maintenance of necessary financial records in conformity with audit requirements are very important.

### 7.1 Library Budgeting and Financial Planning

Budgeting is a planning process in which the expenditure and revenue of the organization over a specific time period are accounted for. The budget is a plan document and a financial statement which provides details of the proposed revenues and their utilisation for expenditure for a specific period, usually a year. It is a means of check and control on what money should have been received and how money is to be spent. Budgeting need not be just confined to money. It can be expressed both in financial and non-financial terms. But it is a practice (and it is the strength of the budget) that it is expressed with a common denominator called the rupee (in India). Hence, budgeting is the process of quantifying all the plans of an operation to determine whether they will achieve the desired results and to adjust accordingly where they will not achieve the desired results. The budget is a quantitative expression of a plan of action, a tool in the hands of the library or information centre manager, a management action towards the destination, and a tracking device to highlight variations from the plan and show the need for corrective actions to put the operation back on track (Newton, 1981, p1313). In other words, the budget aids orderly and progressive planning, coordination and implementation, serves as an instrument of financial a device for evaluating result.

Budget is a systematically prepared statement revenue and expenditure of an institution for a period of time, usually a year. The objective of this process is to produce a financial plan. The budget serves the dual purpose of limiting expenditure to income and assuring wisely planned spending.

Financial planning and budgeting have certain obvious advantages. They make goals clearer, assist in fixing responsibility, reveal weaknesses in the structure of the organization force quantification of targets and achievements, lead to the waist productive use of resources, pinpoint timely actions and indicate the need for corrections from deviations, if any. So much so budgeting in general can also cause some problems: (i) It may lay much emphasis on easily observable factors (e.g. circulation figures). (ii) the budget may tempt one to become routine without improving operations. (iii) Library services are not quantifiable in terms of the rupee. (iv) The budget requires continues adaptation to meet changed circumstances. (v) It does not work automatically. (vi) The budget and, budgetary control are required to be used intelligently.

**Notes**

The budget is a guide on how to incur expenditure for the different activities and operations of an institution throughout the year. The general principle is that the estimated expenditure should not exceed the revenue. In other words, income and expenditure should balance each other. The budget should not be confused with annual financial reports. The latter is an official document to know what was achieved and what was not achieved during a given year. It is in fact a factual record of the state of affairs of the finances of an institution during a particular year. The budget, on the other hand, is only an estimate for the forthcoming year. In short, a budget is a preparation for the future whereas the financial report is an analysis and evaluation of the past.

The budget is also a very important instrument of control, communication, co-ordination, evaluation and motivation. It controls as it canalises the expenditure according to set financial rules and procedures. Budget estimates communicate to the staff and others concerned the total financial outlay of the institution and the allocation of funds for each major item of expenditure and regulate spending; coordinate through sharing of common expenditure of different units not only to economise on expenditure but also to maximise fund utilisation; evaluate performance on the basis of the utilisation of funds within the prescribed period; motivate staff to perform well, for funds have been provided for the activities for which they were sought, envisaging future developments. All the above attributes of a budget would equally apply to the library budget.

### **7.1.1 Purpose of Budgeting**

Having a budgeting system does not guarantee that the library's planning efforts will be improved. In some libraries, the budget is used as a planning process, but there is little emphasis on using it to control operations. Budgeting is a cost-benefit proposition; the system has to be designed to be used for controlling.

The advantages of budgeting must be emphasized periodically so that librarians at various levels take the process seriously and maximum benefit is attained. As mentioned earlier, there sometimes is an aversion to planning. By emphasizing the advantage of planning and budgeting on a continuous basis, this aversion should be overcome.

1. **Helps Enforce Planning:** The most important advantage of budgeting is, of course, that it forces librarians to plan ahead. Simply stated, librarians are very busy. Today's world is changing so fast that librarians are not simply dealing with routine situations on a day-to-day basis. Instead, they must deal with complex problems with easy or known solutions. Working within the framework of a plan facilitates tough decision-making responsibilities. It is becoming extremely difficult for librarians to cope with problems of increasing cost of publications and shrinking library budget.

A formalized budgeting system forces librarians to plan at all levels. Through critical review of their proposed library budgets, higher managerial levels raises questions about the way things are being done at lower levels. Librarians must step back from daily operations and take a wider view of what's really happening in their areas of responsibility.

2. **Better Coordinate Activities:** As you know, libraries are composed of many segments covering many functions and programs. During the budgeting process, the plans and related financial budgets of the various segments are brought together in one place. Typically, a budget committee will review these plans and try to integrate them into a total plan to achieve the organisation's goals. This process results in opening up of communication in the library from subordinates to superiors. There is also communication between staff across section and department lines.

3. **Helps in Evaluating Performance:** Performance evaluation is not an easy task. Obviously, librarians desire a fair evaluation of their performance. They want to know what is expected of them in advance.

When users evaluate a library's performance, a common technique is to compare the current with historical results. Also, the budget is used as a benchmark.

4. **Helps in Controlling:** Successful libraries create a control environment. They have an effective set of internal controls to assure compliance with management's policies and procedures. Controls must assure compliance by staff at all levels. Librarians must understand and follow the limits on their authority to expend the library resources.

Monthly budgetary control reports on spending documents the librarian's actions in using the authority granted. Of course, the budgetary control system should allow for changes during the budget period. These authorized changes should be documented as part of the management control system.

5. **Helps in Allocating Resources:** During the budget planning phase, many resource allocation decisions are made. A good example is capital expenditures. The various segments of a library will request a budgeted rupee amount for these expenditures. Invariably, the total amount requested exceeds the organisation's ability to finance that total. Consequently, a capital rationing process is used. Typically, the library will use either the internal rate of return or net present value method of evaluating the competing proposals for capital expenditures.

6. **Helps in Motivating:** Budgets can be used by management to motivate both library staff and users. If librarians participate in the planning process and budget preparation, they are likely to develop more of a commitment to achieving the budget's objectives. In the process, they also realize that budget is important in coordinating the overall plan. If an organization can develop a fair budget review process (and a fair performance evaluation process); librarians will be motivated to achieve desired results. Conversely, if these processes are not perceived as fair, the budgetary system will have a negative effect on motivation.

## Self Assessment

Fill in the blanks:

- ..... is a planning process in which the expenditure and revenue of the organization over a specific time period are accounted for.
- The budget serves the dual purpose of limiting expenditure to income and assuring wisely planned .....
- A ..... budgeting system forces librarians to plan at all levels.



Caselet

### Libraries Preserves through Cumulative, Ongoing Funding Cuts

California's 2011–2012 budget contained a 50% cut to the \$30.4 million state-level support for public library programs, providing per capita allocations, support for interlibrary loan, and funding for literacy instruction. In December 2011, Governor

Contd...

Notes

Jerry Brown announced a mid-year adjustment that eliminates all remaining funding for these programs. His first budget for 2012–2013 continues to eliminate all funding for public library programs and makes a \$1.1 million cut to the State Library administration budget to reflect a decrease in anticipated administrative workload resulting from the previous year's cuts. (Meanwhile, Los Angeles voters approved a ballot initiative that increases dedicated spending for the Los Angeles Public Library system by \$50 million over the next few years without raising taxes.)

Texas lived up to its reputation for doing things on a grand scale, cutting state funding for the Texas State Library and Archives Commission by 64 % and funding for the agency's library programs by 88 %. The overall state library budget will shrink from \$19.8 million each year of the two-year budget to \$7.2 million, while support for programs will go from \$12.8 million to \$1.6 million. The Library Development and Library Resource Sharing divisions are to be merged into a single division.

Source: <http://www.ala.org/news/mediapresscenter/americaslibraries/soal2012/public-libraries>

## 7.2 Types of Budgeting

Every library, no matter how small, has to operate with a budget. In most libraries, the librarian and his senior staff prepare the budget, according to budgetary norms issued by the authorities. The budget is scrutinized, vetted, if necessary, and approved by the Library Executive Committee before it is sent to the higher authorities for final approval and sanction. The general practice is to follow the methods and procedures of the parent organization. If they are special service of a comparatively limited scope, some small special libraries may be exempted from the preparation of a detailed budget. There are some methods of budgeting for preparing library budgets which include traditional ones practised by many libraries and the more innovative ones that have, in recent years, found their way into libraries. These budgetary methods are discussed below:

1. **Line Item or Incremental or Historical or Object-of-Expenditure Type Budgeting:** Probably the most common type of budget is the one that divides items of expenditure, line-by-line, into broad categories such as books and journals, salaries and allowances, equipment, supplies, capital expenditure, contingencies, etc. with further subdivisions for each of these broad categories. This is the usual traditional method which, by taking into account past expenditure on each item, prepares the current budget, hence called historical budgeting. The budget is prepared with a small increase of say 5 or 10 per cent for each major item of expenditure of the previous year's allocation, assuming that all current programmes are as good and necessary.

The advantage of this method of budgeting is that it is relatively easy to prepare, present and understand. To some extent it ensures that the funds provided are spent for the purpose stated. It is extensively practised. But it has certain weaknesses. This method does not suggest any future projections. It does not necessarily involve any review as to what amount ought to be spent in terms of activities and services. Secondly, it moves in the same manner as in the past year, without any forward push. Thirdly, this tends to ossify and rigidify the budget. In other words, budget funds earmarked for a particular item cannot be spent for any other purpose i.e., the financial rules would not permit the shifting of expenditure from one head to another. For instance, funds allotted for equipment, if unspent, cannot be shifted to acquisition of a few important titles of current journals even if fully justified. It emphasizes tools rather than what these tools have to achieve. It also has a tendency to tempt to disguise needs and ask for more money than needed. Above all, it lacks a forward look and not provides accountability for performance.



2. **Formula Budgeting:** Based on financial norms and standards this method tries to relate some inputs like users served, academic programmes supported and ratio of book stock to total funds of parent body. The formulae are used for financial estimation as well as budget justification. This appears to be a broad and quick method and hence saves a lot of time. But it does not account for finer variations in respect of each library and its customers and services.
3. **Programme Budgeting:** This method propounded originally in the Hoover Commission Report (1949) has three steps. They are: (i) statement of agency (i.e., library) objectives, (ii) full consideration of alternative ways and (iii) logical selection of the best based on effectiveness and efficiency. Extended from the line-item method, this method tries to answer the questions for “what purpose the money is being spent?” and “how have the resources to be deployed for each programme?” and more suitable for a contracting economy. Accordingly, the financial plan is presented as programmes and subprograms built upon work units or workloads. Work units are assumed to be measurable and the work unit costs are the building blocks of the programme budget.

The focus in this method of budgeting is on the library’s activities and the funds are to be earmarked for programmes or services that the library plans to provide. For instance, if a library decides to provide a Current Awareness Service, the cost of that service (like staffing, materials, publication, overheads, etc.) is calculated and the expenditure estimated. The budget is thus prepared on the basis of the cost of programmes and whether a programme has to continue, get modified or deleted.

A library may also group its major programmes or functions, which may correspond to the organizational structure of the library like administrative services, technical services, reader services, etc., Each of these services may be organized through departments such as acquisition, classification and cataloguing, reference and bibliographical services, documentation and information services, together with summary descriptions of these functions or programmes and comparative figures of current and proposed expenditure. In this type of budget, provision is made for various activities of each department to gauge their requirements and watch their expenditures.

4. **Performance Budgeting:** This budgeting method is similar to programme budgeting but the emphasis shifts from programmes to performance. The expenditure is based on the performance of activities and the stress is laid upon operational efficiency. This method requires careful accumulation of quantitative data on all the activities over a period of time. Management techniques such as cost-benefit analysis are used to measure the performance and establish norms. For example, data on the number of books acquired, classified and catalogued, actual man-hours for doing the entire processing work, etc. are collected to determine the manpower and materials needed to perform the tasks.

It emphasises the performance and operational efficiency of the programmes. Like programme budgeting starting with a statement of agency objectives, full consideration to alternate ways of achieving the objectives and a logical selection of the best is made based on effectiveness, efficiency and cost-benefit analysis. The unit cost for specific operations multiplied by the volume of operations anticipated would give the budget.

The advantage of the method is the emphasis on the service mission of the library. However, it is difficult to quantify service quality and activities. In other words, this method measures only quantity not quality which is rather difficult to measure in terms of money. In fact, the budget allocation for a service institution like a library has little direct relationship to the degree of satisfaction users receive from library services. Measuring benefits of libraries in rupees, the complex interrelationship of costs of different operations and the non-linear variation of cost for every unit output (marginal/incremental cost) are some of the problems. It may look too humble and begging for a review of each operation by authority.

Notes

5. **Planning Programming Budgeting System (PPBS):** This method of budgeting has two key elements of PPBS are budgeting and systems analysis. As an extension of programme budgeting, PPBS involves systems analysis, and/or other cost-effectiveness processes to provide a more systematic and comprehensive comparison of costs and benefits of alternative approaches to a policy goal or programme objective. This establishes a rational basis to enable the decision-maker to choose between alternative programmes.

This method combines the best of both programme budgeting and performance budgeting. The focus in this method is on planning. It begins with the establishment of goals and objectives and ends with the formulation of programmes or services. The controlling aspect of measurement, which is central to performance budgeting, is also an aspect of PPBS. This method combines the functions of planning activities, programmes and services, translating them into tangible projects and finally presents the requirements in budgetary terms.

Great disparities do exist in practice and lack of standards for measuring programme effectiveness/performance are the difficulties of implementing PPBS. It also suffers from other implementation problems and some critical gaps like (i) focusing on what will be done rather than how to do it, (ii) failing to provide an operating tool, (iii) lack of a mechanism to evaluate the impact of various funding levels, (iv) focuses on new programmes or major increases on ongoing programmes rather than forcing continuous evaluation of existing programmes, and (v) cost calculation is based on the decisions made in the planning and programming steps.



*Did u know?* Planning Programming Budgeting System (PPBS) was first proposed by USDOD (1961).

6. **Zero-Base Budgeting (ZBB):** This method, developed by Peter Phyrre during early the 1970s, requires a thorough knowledge of the organization and a lot of time, effort and training. Having much in common with PPBS and opposite of historical budgeting, it emphasizes current activities and the necessity to justify each part of the programme every year. It assumes a budget of 'zero' for each programme until one convinces the appropriating authority that the programme is worthwhile and deserving of support at a specified level. It does not allow for incremental growth in budget. ZBB is an operating, planning and budgeting process which requires each manager to justify his entire budget request in detail from scratch (hence : zero-base) and shifts the burden of proof to each manager to justify why he should spend at all. This approach requires that all activities be identified and developed as "decision packages" and that there should be a systematic evaluation and ranking of these "decision packages" preferably using a computer. It does not take into account what happened in the past but places emphasis on current activities. Every programme and activity is spelled out in detail and the financial requirements are worked out without any reference to the past. In other words the request for financial support has to be established afresh every year. No activity, in fact, could continue simply because that activity was undertaken in the previous year. In other words, the entire budget is justified from scratch.

Steps involved in preparation of ZBB are:

- ❖ Activities/programmes are grouped to lowest level entity
- ❖ Objectives and activities of each programme examined and alternative methods evaluated

- ❖ Programmes are then grouped into a series of “decision packages” with their statement of purpose
- ❖ Ranking of the “decision packages”
- ❖ Cut-off point corresponds to the total budget allocation.

Notes

ZBB improves the plans and budgets of libraries and helps to develop good management teams. It also helps to add follow on benefits over the years. Yet the serious problem of the enormous time and efforts required together with other administrative problems and problems of developing and ranking “decision packages” prevents its adoption in libraries.

**Some observations:** Some of these budgetary methods are of recent origin and present a more readily understandable view of the budgetary requirements of activities and services, a more objective justification for them and are better instruments for purposeful spending. In practice it is necessary to understand the “politics” of the budget process within the parent organisation and look for opportunity for personally participating in the final negotiations/ deliberations as well as using personal informal contacts effectively.

In India, almost all libraries follow the conventional historical method of budgeting. It is only in recent years that some attention is given to other, newer, methods. One aspect that needs careful examination is that most library functions and services are of a continuing nature and cannot be discontinued on any account without reference to the past. While it is necessary to evaluate performance and effect improvements to ensure quality of service, discontinuity of existing services would prove undesirable, particularly if conditions do not warrant. It is, however, possible to make a more objective assessment of these methods of budgeting only if Indian libraries start making their budgets by these newer methods and gain sufficient experience in their operations.



*Task* Explain the features of Zero-Base Budgeting in five or six lines.

### Self Assessment

Fill in the blanks:

4. The usual traditional method which, by taking into account past expenditure on each item, prepares the current budget is called ..... budgeting.
5. The focus in ..... budgeting method of budgeting is on the library’s activities and the funds are to be earmarked for programmes or services that the library plans to provide.
6. Performance budgeting method is similar to programme budgeting but the emphasis shifts from programmes to .....

### 7.3 Budgetary Norms and Standards

For the purpose of financial planning and budgeting, standards and norms have been set/ proposed by professional experts, committees and bodies. They are quite useful in estimating the budget, seeking and justifying funds as well as allocating the budget among various items of expenditure.

Having got some idea of the methods of budgeting, let us now discuss the standards and norms that form the basis of estimating the requirement of library funds required and also the

**Notes**

distribution of funds to major items of expenditure within the total library budget. It has already been discussed in the previous unit about the basis for estimating the financial requirements of libraries. Just to recapitulate, you have studied three methods of estimating funds, namely, (i) per capita method, (ii) proportional method and (iii) method of details.

The second aspect of budgetary norms and standards that needs attention in this unit is the actual distribution of budgetary funds to different competing heads of expenditure. The major heads of expenditure in libraries are books and journals, and salaries and allowances, both of which are to be combined to generate services. Ranganathan has suggested that the proportion of the expenditure of a university library on these two major items be as follows:

Staff:	50%
Books and other: reading, materials	40%
Miscellaneous:	10%

The University Grants Commission Library Committee has suggested that a university library with 5,000 students and 500 teachers and research fellows should have a budgetary provision of ₹3,50,000 out of which ₹ 175,000 would be spent on books, journals and other kindred materials, and a similar amount on staff, implying thereby that the expenditure on books and staff may be equal, but general trend is that the expenditure on staff salaries tends to be higher than on books. Thing into amount the recommendations of University Grants Commission, university and education commissions and library experts, the general norms appear to be as follows:

Salaries and allowances	50%
Books	20%
Periodicals	13%
Binding	75%
Others (Supplies, Maintenance etc.)	10%

In the case of public libraries, the distribution is more or less the same for the major items of expenditure.

Salaries and allowances	50%
Books	20%
Periodicals and Newspapers	5%
Binding	5%
Others	20%

**Some Observations:** Current thinking on library and information services, library budgeting and related aspects, is on the following lines:

- Library and information services are to be totally oriented to user needs, irrespective of the types of libraries. User needs must be systematically assessed and obtained, on the basis of which libraries should organise their services.
- Library budgets, consequently, are to be in tune with need based services. The unit cost of every operation in a library has to be worked out and budgetary estimates have to be built on this data. The cost of library operations and services, particularly in India, is not attempted. Libraries mostly operate on appropriated funds by the parent organisations without any scientific basis for allotment. With the tremendous increase in the cost of books, journal subscriptions, staff salaries, library and information services, etc., the question very often arises whether library services should be continued to be given without

any charge. Some of these services like literature search, document supply, compilation of bibliographies, SDI, CAS etc. can be priced. Of course, in the context of Indian conditions these services may be subsidised partially. On the whole, a more scientific basis for library expenditure has to be evolved in view of the importance of library services. Library budgeting has to be more innovative and in tune with the new demands.

Notes



*Notes* Cost accounting is essential for fixing budgetary estimates.

## Self Assessment

Fill in the blanks:

7. Libraries mostly operate on appropriated funds by the ..... organisations without any scientific basis for allotment.
8. Library ..... has to be more innovative and in tune with the new demands.

## 7.4 Preparation of Library Budget

The preparation of the budget is the responsibility of the chief librarian who also has the responsibility for allocating and administering funds within the overall activities and services of the library. This responsibility can be delegated to the next level department or section heads but the overall coordination and accountability still rests with the chief librarian. Adequate discussion should take place between the chief librarian and his section heads. When the information needed for making the estimates for the library budget has been assembled the next step is the preparation of the budget itself. Preparation of a budget takes substantial time and efforts. Generally during the middle of a financial year, Budget Estimates (BE) for the next financial year and Revised Estimates (RE) for the current financial year are called for by the office concerned. Estimates are prepared on the basis of past experience, present demands and future expectations of requirements. The estimates should take into account the actual expenditure of the previous financial year, spill over's, if any, amount spent up to the date of preparation of the budget during the current financial year; Foreign Exchange (FE) requirements (if any), advance commitments to be made for the next financial year, capital items, etc. No set of rules can be given for preparing this statement, but the librarian should bear in mind the impact of inflation on the cost of books, periodicals, binding, and other supplies. The increase in enrolment, the probable need for annual salary increases at least comparable to those of the past five years and the possible impact of new technological developments on library economy and efficiency are some of the other factors. The librarian discusses the budget proposals with the sectional and departmental heads before the final consolidation. Budget requirements are filled up in a proforma approved by the institution. The proforma commonly used for a historical budget in academic libraries is of two types: (i) Schedule of expenditure on pay and allowances of staff and (ii) Schedule of expenditure on all other items. These two schedules of expenditure are usually made under the following heads.

### 7.4.1 Schedule of Expenditure on Staff Salaries

It is usually prepared under the following heads:

1. Serial number
2. Designation of staff member

**Notes**

3. Pay stale
4. Basic pay on 1st April
5. Total for twelve months
6. Date of increment
7. Rate of increment
8. Total amount of increment (rate x months)
9. Dearness pay rate and amount
10. Dearness allowance rate and amount
11. House rent rate and amount
12. Contribution to GPF/CPF rate and amount-
13. Any other honorarium rate and amount
14. Interim relief rate and amount
15. Total of amounts of columns 5, 8 to 14

**7.4.2 Schedule of Expenditure on All Other Items**

This contains, inter alia, the following heads:

1. Establishment
2. Salaries
3. Allowances
4. Contribution to provident fund, gratuity
5. Other recurring expenditure
6. Binding
7. Stationery
8. Postage
9. Contingency
10. Books, periodicals and back sets
11. Other non-recurring expenditure
12. Construction or expansion of library building
13. Maintenance or library building
14. Purchase of repair of furniture
15. Equipment
16. Employing additional staff for specific time and purpose such as processing for books needed for special purposes
17. Special collections

As mentioned earlier, all the above items are to be shown in four types, viz., actual expenditure for the last year; estimated expenditure for the current year; revised financial estimates for the

current year; and estimated expenditure for the next year. Thus the budget is a linkage between three years.

Notes

### 7.4.3 Contents of a Budget Document

The budget document is an official document, seen by or circulated to several administrative and financial officials of the parent organisation. Hence it should be self-contained with regard to the activities and services of the library, self-explanatory, well organised and neatly presented. Every item of expenditure with reference to its past allocation and enhanced current requirements must be clearly stated with justification for the extra funds.

The format of contents of a budget document is given below:

Title page indicating the budget estimates for the year...

Contents

Executive summary

A synopsis of the budget

Budget at a glance

Part I Goals and objectives of the library in brief

    Activities and accomplishments of the previous year

    Anticipated activities and proposed targets for the budgeted year

    Future perspectives

Part II Budgetary estimates: A total view of estimates by items on separate page

Salaries and allowances

Books and journals

Database

Library, documentation and information services

Equipment

Software including Hardware

Stationery, postage, etc.

Building maintenance

Contingencies

Miscellaneous

### Self Assessment

Fill in the blanks:

9. The ..... document is an official document, seen by or circulated to several administrative and financial officials of the parent organisation.
10. The preparation of the budget is the responsibility of the chief ..... who also has the responsibility for allocating and administering funds within the overall activities and services of the library.

## **7.5 Principles of Budget Making**

The budgets of different libraries vary considerably. Nevertheless, there are some elements which are essential and common for different library budgets. They may be reduced to a few guiding principles and applied to the perpetration of any library budget. These guidelines are discussed below:

- The librarian should be invited by the authorities to submit the library budget. The librarian in turn must consult his departmental heads about book funds, and the library staff members about personnel and other administrative costs. The final choice of what goes into the budget and how much to ask for should rest with the librarian.
- The librarian should request sufficient funds in each head of the budget to support a sound programme of library development. Calculating the expenditure and anticipating income, inflation rate, foreign exchange rates, salary increases, insurance rate, public utility charges, time-delay, etc. are very important.
- The budget should be prepared and submitted in time. This facilitates recruitment of additional staff, ordering of materials and so on in a proper way. The budget should represent library planning in terms of educational goals and should not simply be a “crisis” operation in which urgent current needs are hastily converted into rupee estimates to meet a budget deadline. Planning to meet educational goals implies that the library will take into account proposed new curricular changes, the impact of new courses on library books and personnel, the effect of price increases in binding and the like.
- The budget should be reasonably flexible in its execution; classification of the budget categories should enable the library to check its financial records easily against the periodic balance statements.

Some important sources of finance for a library or information centre, include (i) regular grants from parent organisation and/or government, (ii) ad hoc grants or subsidies, (iii) fines, fees and service charges.

Important heads of expenditure of an information centre or library are (i) collection building and updating (books, journals, reports, etc.), (ii) binding and other maintenance costs, (iii) furniture and equipment, (iv) building, (v) salaries and wages, (vi) stationery, postage, etc.

Depending on the size of the library or information centre and the nature of its parent organisation the complexity of the budget and the budgetary control system may vary from a simple fairly fixed (constant) voted grant of the budget from the parent organisation for books, journals and other reading materials to a most complex situation where grants are received from the parent institution and other agencies in addition to certain revenues earned. These sources of finance may have several restrictions in their deployment. Allocation has to be done to all heads as explained above and by type of material (i.e., books, journals, reports, etc.), by subjects, or by departments and so on. The budgeting method used by a library or information centre is normally decided by the parent institution.



*Notes* “Effective budgeting can display endless variety” (Newton, 1981, p1313).

### **7.5.1 Justifying the Budget Request**

The final decision about the library budget is often taken by the chief executive of the parent organization. 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 departments or agencies and the total financial resources at their disposal. It is probable that funds will not be sufficient to meet all the requirements in full and that budget allocations may be affected accordingly. The library budget request should state separately and clearly the purposes for which funds are requested and explain why additional funds may be required in certain categories. The supportive documentation and justification for the budget has to be developed throughout the year. The justification for the library's budget will already have been made if the arguments for services have been well presented in detailed and timely reports other words, budget preparation should not become a once-a earlier. It is also necessary to understand the "politics" of the budget process and build up effective rapport with the key members of the team or committee.

Sometimes the librarians may think it expedient to present an inflate fact that the authorities usually sanction less than what is ash practice. Padding the budget is not only ethically questionable but because it is difficult to justify amounts in excess of proven needs, of the college/university or other parent body and, as such, must realize that there are many demands and constraints on the limited resources in the majority of institutions. The librarian should neither minimize the requirements of the library, nor be unduly discouraged if the library committee or finance committee is unable to give all that he asks for because of other pressing and urgent requirements of the parent institution. The best that can be done is to present an honest picture of the cost of running a library, in terms of material needed and of services expected for the clientele. After making an honest budget, the budget request must be accompanied by a free, clear, and forceful argument proving the need for the amount asked. Remember that there is no better way of sowing suspicion in the minds of the usually hard-headed finance authorities than presenting an unrealistically inflated budget.

While preparing the budget you should remind yourself that, regardless of any other values it may have, the budget document must be easily understood and so convincing in its arguments that the appropriating authority will be persuaded to accept it and provide the necessary funds. To produce such a document, you should use all the techniques and supporting data that are available with you.



*Caution* The budget document must be easily understood and so convincing in its arguments that the appropriating authority will be persuaded to accept it and provide the necessary funds.

### 7.5.2 Approval of the Budget

The librarian presents the budget to the library committee or any other authority for discussion and approval. The library budget, with the approval and recommendations of the committee, is sent to the university organizations office or any appropriate office to be incorporated in the total university or organization budget. The entire university budget is passed by the Executive Council/Syndicate of the university. Plan requirements of the university library are assessed by the visiting committee of the University Grants Commission. The visiting committee visits the library and discusses the library requirements with the librarian. The approved recommendations are consolidated and submitted for sanction to the University Grants Commission.

In a college, usually the principal of the college approves the library budget, after taking into account the requirements and opinions of the heads of different teaching departments, and the requirements in different subject areas. In public and special libraries, similar procedures are there to get the budget approved and sanctioned by appropriate authorities.

### **7.5.3 Notification of the Budget to the Library**

When the budget is passed, the same is communicated to the library. This includes both plan and non-plan budgets. The plan budget is approved by the university authorities in consultation with the state government wherever necessary (especially when a matching grant is involved). After the budget notification, the university librarian informs the different academic departments regarding the budget allocations. These allocations, in fact, are funds in the names of different departments placed at the disposal of the university librarian. Money is spent by the librarian on items recommended by the heads of the departments. The subject-wise allocations for books and periodicals are done by the library committee. This is purely an internal arrangement of the library after the passing of the budget. If there are differences of opinion on allocations to different subjects, they are usually adjusted, erased and balanced by the library committee. Similarly is the case for special libraries.

### **7.5.4 Budget Excess**

Bill or library commitments which exceed the sanctioned budget, if any, for the library are usually adjusted in two ways, i.e., (i) by adjustment of the excess amount in next year's budget and/or (ii) by additional allocation subject to agreement by the authorities. However, it has been observed in practice that the second alternative is not only theoretical but also a doubtful and remote possibility. A budget excess adversely reflects on the attitudes and awareness of the management towards the library.

### **Self Assessment**

Fill in the blanks:

11. .... the budget is not only ethically questionable but because it is difficult to justify amounts in excess of proven needs, of the college/university.
12. The ..... method used by a library or information centre is normally decided by the parent institution.
13. The ..... presents the budget to the library committee or any other authority for discussion and approval.
14. The ..... is approved by the university authorities in consultation with the state government wherever necessary.
15. A budget ..... adversely reflects on the attitudes and awareness of the management towards the library.

## **7.6 Use of Funds and Financial Control**

Most practitioners of librarianship are much concerned and serious about the phase of actual use of funds, accounting, auditing and financial control. This phase in itself involves allocation of funds as envisaged in the budget, encumbering funds under each head, fund accounting and financial audit. Let us briefly discuss some of these aspects in this section.

### **7.6.1 Allocation of Funds**

Allocation of funds might have been based on past practices and performance, differential publication rate and inflation nut, level of demand, actual use and the total programme of the library or information centre. Actual allocation could be by departments/units, by subjects,

by type of material, by users, by language or by format. Such an allocation of funds provides better control and a more effective way to monitor funds and has the best chance to achieve fair balance in the development of programmes and services. However, a rigid allocation, particularly for collection development, may lead to difficulty in transferring funds from one account to another and consequently under spending may occur in some cases when the other heads starve for funds. In addition to such ineffectiveness, approval, blanket and standing order plans as well as development of reference, general and special collections may not fit into any heads. Further, matching the needs and money available becomes complicated, time consuming and it may be difficult to develop models even after massive efforts. However, it may be noted that such formal allocation of funds may not be necessary in a small library.

### 7.6.2 Encumbering Funds

The most difficult task in the budgetary control process in libraries or information centres is encumbering funds. Encumbering funds is a complex process that allows one to set aside money to pay for ordered items. The process of encumbering funds is difficult and complicated for various reasons. Firstly, it is common that there will be other under spending and/or overspending in some heads. Secondly, there are some uncertainties about supplies (delayed supplies and non-supplies). Libraries make several orders for documents under many heads in a given financial year and supplies are received continuously at non-fixed intervals. Generally there is no automatic cancellation of non-supplied or unbilled orders and hence no disencumbering done automatically. It is very common that prices, discounts and handling charges of documents as well as exchange rates for foreign currencies keep changing frequently causing variation in the value of funds encumbered. Lastly, moving money back and forth by encumbering and disencumbering in a manual system can lead to 'errors.

### 7.6.3 Financial Control

It has been stated earlier that the budget is a tracking device to measure progress, highlight variations from the plan and show the need for corrective actions to put the operation back on track. Nobody has the luxury of working without financial restrictions. Nobody gets money without justifying why it is required. Above all, one should be prepared to face both sudden windfalls as well as severe cuts in budgets. The budgetary control system is an example of a system (particularly, the monetary and evaluation techniques of systems analysis) as well as a widely recognized control function of the management.

Budgetary control is one of the oldest and transitional control techniques used by managers. Budgetary control is the process of comparing what was planned with what has been accomplished during the budget period. It is not a past-oriented or post-action control but a future-oriented control system. It is not a post-mortem type assessment but a continuous examination of the progress made, comparing it with the cost standards and time lapsed so that the manager is able to make adjustments in the operation on a day-to-day, week-to-week, or month-to-month basis for the rest of the period of the budget.


As the budget is only a futuristic plan, how far the actual operations of the library or information centre have conformed to the budgeted programme will be known only after the completion of the budget period (i.e., financial year). Knowing post-fact how much deviation or under spending or ineffective utilization of resources has taken place is like discussing the ways of avoiding accidents after the accident has occurred. Hence continuously monitoring the operations to examine how the operations are carried out, whether there are any deviations, the causes for deviations and ways to rectify deviations within a week or a month will be of immense help. Though the budget is prepared once in a year, the budgetary control process is a day-to-day, week-to-week, fortnight-to-fortnight, month-to-month and quarter-to-quarter activity for a check of all revenues and expenditures budgeted and stated beforehand.

**Notes**

The three basic steps in the control process are – establishing standards, comparing results with standards and taking corrective action. Preparation of the budget is nothing but establishing the cost standard. This process begins with the top management setting goals and objectives and the lower level managers developing budgets for their units and the same successively reviewed and integrated at each higher level. Unlike profit-oriented organizations where the budget for marketing expenses can influence the amount of revenue, the service-oriented and not-for-profit organizations should have different kind of simple matching of revenues and expenses.

Statements relating to commitments and actual expenditure should be regularly checked and continuously reviewed to control the budget. In the actual practice of the budgetary control system, operating statements have to be prepared for each of the budget centres (or heads or items) involved. These statements should form part of the Management Information System (MIS) used to control the performance of the library or information centre against the budget plan. A good budgetary control system should follow the theory of “management by exception” and focus its attention on matters that are adverse or that show an unusual variation in addition to providing full details of budget statements.

In practice, it may suffice to have monthly reporting in the beginning of the financial year and changing it to fortnightly during later part of the year. However, the unit heads may have data on a daily or weekly basis throughout the year to facilitate operational control and the same need not be sent to the head of the library or information centre.




*Task* If there is an excess in library spending beyond the budgeted allotment, state the methods of adjusting the excess.

**Self Assessment**

Fill in the blanks:

- 16. .... is a complex process that allows one to set aside money to pay for ordered items.
- 17. .... is one of the oldest and transitional control techniques used by managers.



*Case Study*      **National Library of Australia**

**Governance over Capital Budgeting**

An important aspect of any capital asset replacement process is that effective governance arrangements are in place throughout the organisation. The National Library of Australia (the Library) achieves this through various sub-committees of the Corporate Management Group. There is a Collection Management Committee, a Building Works Coordination Committee and an Asset Management Committee. The Library Council is responsible for endorsing overall acquisition programs and ministerial approval is required for any individual acquisitions or disposals in excess of \$1 million.

*Contd...*

## Notes

Each of the three committees meets at least quarterly throughout the year to develop, amend and monitor progress against annual asset programs. Meetings are also timed to coincide with overall strategy review and budget timetables. Some staff are members of one or more committees, which help provide an integrated approach across capital and operational budget requirements. Other than the Collections Management Committee, there is a representative from each division on each committee and that person is responsible for presenting divisional proposals and discussing progress against agreed plans.

In October or November each year asset bids for the upcoming year are finalised by the various committees and presented to the Corporate Management Group for consideration as part of the Library's strategy and budget processes. Major capital projects are managed through the Library's Balanced Scorecard system.

### Planning for Capital Replacement

As most long-lived assets require active management beyond the budget and forward years it is important to take a long-term view of their ongoing maintenance and replacement.

Within the Library, the Building Works program is based on:

- (a) A 15 year strategic building asset plan which is revised every three years to identify replacement and maintenance requirements of the various components of the building over that period;
- (b) A strategic building master plan that focuses on library service issues (for example, collection delivery issues, reading room locations, public program requirements and staffing issues);
- (c) A collection storage plan that aims to optimize collection storage within the Library buildings and identifies when additional external collection storage is required; and a conservation management plan.

The Library also has a separate building management system that identifies building asset replacement and maintenance requirements. This system is also used to help manage associated contracts.

Any additional whole of life (for example, maintenance) and depreciation expenses are built into budget proposals as required. Some capital funding is held in reserve each year to take account of major purchases required in future years. These quarantined funds are considered as part of budget processes and are held for major categories of assets and the duration of asset management plans.

### Questions

1. Critically analyse the case study and state the role of authorities in capital budgeting.
2. State the purpose of planning for capital replacement.

Source: [http://www.anao.gov.au/~media/Uploads/Documents/developing\\_and\\_managing\\_internal\\_budgets1.pdf](http://www.anao.gov.au/~media/Uploads/Documents/developing_and_managing_internal_budgets1.pdf)

## 7.7 Summary

- In this unit, we have discussed the library budget, its features and attributes.
- A library, being a service institution, offering its services without any price, does not support itself financially.

**Notes**

- Funds have to be provided by its parent organisation or by the government. From the appropriations of funds made, it organises and regulates its expenditures for its functions and services according to certain norms and procedures.
- There are a few methods of budgeting which include line item budgeting, programme budgeting, performance budgeting, planning programming budgeting systems and zero-base budgeting.
- Budgets are usually prepared in conformity with standard norms, particularly with reference to the distribution of funds towards different competing items of expenditure. In Indian libraries the conventional line item budgeting is common. The proportion of funds for staff salaries is generally more than that of books and journals in any library.
- A few helpful guidelines are provided to prepare budgets. The contents of the budget document, justification for expenditure and other usual budget formalities are also explained in this unit.
- While the budget is a financial statement which provides details of the proposed revenues and their utilisation for expenditure for a specific period, the budgetary control is the process of comparing what was planned with what has been accomplished during the period.
- Libraries and information centres have certain peculiarities as service-oriented and not-for-profit organisations and hence implementation of budgeting and the budgetary control system in such institutions is more difficult than in profit-oriented organisations.
- Budget and the budgetary control system have many merits like use of the rupee as a common denominator, dealing directly with the efficiency, of the organisation, stimulating good management practices, detecting deviations, suggesting corrective actions, facilitating centralised control and availing of the collective wisdom of the people involved.

### **7.8 Keywords**

**Budget:** A financial and/or quantitative statement prepared and approved prior to a defined period of time of the policy to be pursued during that period for the purpose of attaining a given objective.

**Budget Centre:** A section of the organization or the undertaking defined for the purpose of budgetary control.

**Budgetary Control:** Budgetary control is the process of comparing what was planned with what has been accomplished during the budget period.

**Cost Analysis:** Knowledge of the reaction of individual costs (i.e., fixed, variable and semi-variable costs) and expenses to changes in the volume of activity. Cost analysis helps (1) planning the amount of costs to be incurred in future periods (2) estimating profits from future activities; and (3) determining whether costs have been adequately controlled by those responsible for this.

**Encumbering Funds:** Encumbering funds is a complex process that allows one to set aside money to pay for ordered items.

**Flexible Budget:** A budget that recognizes the difference in the behaviour pattern of fixed and variable costs and which is designed to change in relation to the level of activity actually attained.

**Restricted Funds:** Restricted funds do not allow flexibility in the use of funds. Like grants for specific purposes, restricted funds cannot be used for purposes other than those specified.

## 7.9 Review Questions

Notes

1. List the different methods of preparing library budgets.
2. What are the factors to be considered in library budgeting?
3. Describe the purpose of Budgeting.
4. Explain the features of Zero-base Budgeting in five or six lines.
5. Mention the steps involved in preparation of ZBB.
6. State what a library budget is along with its attributes.
7. Explain the principles of Budgeting.
8. Why do we need a budgetary control system?
9. What do you understand by encumbering funds?
10. Define budgetary control.

## Answers: Self Assessment

- |                       |                       |
|-----------------------|-----------------------|
| 1. Budgeting          | 2. formalized         |
| 3. spending           | 4. historical         |
| 5. Programme          | 6. performance        |
| 7. parent             | 8. budgeting          |
| 9. budget             | 10. librarian         |
| 11. Padding           | 12. budgeting         |
| 13. librarian         | 14. plan              |
| 15. excess            | 16. Encumbering funds |
| 17. Budgetary control |                       |

## 7.10 Further Readings



Books

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D. K. Pandey. Jan, 2004. *Library and Information Science*. Atlantic Publishers & Distributors.

Richard E. Rubin. Third Edition. *Foundations of Library and Information Science*. Neal-Schuman Publishers New York London.



Online links

<http://doug-johnson.squarespace.com/blue-skunk-blog/2012/1/23/effective-library-budgeting.html>

<http://www.webpages.uidaho.edu/~mbolin/oyelude-ola.htm>

**Notes**

<http://www.clib.dauniv.ac.in/E-Lecture/Budgeting.pdf>

<http://www.ifla.org/files/assets/school-libraries-resource-centers/publications/school-library-guidelines/school-library-guidelines.pdf>

<http://www.icpl.org/policies/401-finance.pdf>



## Unit 8: Library Accounting

Notes

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### Objectives

After studying this unit, you will be able to:

- Explain the concept of Fund Accounting
- Discuss the Purpose of Library Accounting
- Explain the Financial Records keeping of Library
- Understand the concept of Financial Audit of Library

### Introduction

Accounting is the process of identifying, recording, measuring and communicating financial information which allows balanced judgement and sound financial management decisions. Account systems have been used throughout history as long as there was need to make financial decisions.

Accounting is a system meant for measuring business activities, processing of information into reports and making the findings available to decision-makers. The documents, which communicate these findings about the performance of an organization in monetary terms, are called financial statements. Usually, accounting is understood as the Language of Business. However, a business may have a lot of aspects which may not be of financial nature. As such, a better way to understand accounting could be to call it the Language of Financial Decisions. The better the understanding of the language, the better is the management of financial aspects of living. Many aspects of our lives are based on accounting, personal financial planning, investments, income-tax, loans, etc. We have different roles to perform in life – the role of a student, of a family head, of a manager, of an investor, etc. The knowledge of accounting is an added advantage in performing different roles. However, we shall limit our scope of discussion to a business organization and the various financial aspects of such an organization. When we focus our thoughts on a business organization, many questions (is our business profitable,

**Notes**

should a new product line be introduced, are the sales sufficient, etc.) strike our mind. To answer questions of such nature, we need to have information generated through the accounting process. The people who take policy decisions and frame business plans use such information.

All business organisations work in an ever-changing dynamic environment. Any new programme of the organisation or of its competitor will affect the business. Accounting serves as an effective tool for measuring the financial pulse rate of the company. It is a continuous cycle of measurement of results and reporting of results to decision makers.


**8.1 Fund Accounting**

Accounting means a systematic maintenance of the income and expenditure flow on records. A properly conducted accounting system is a basic prerequisite of efficient financial administration. Its main purpose is to ensure that the library funds are spent correctly, properly and within limits. In other words, the purpose of fund or financial accounting for not-for-profit organizations is to assure proper use of monies provided and to make it possible to track expenditure.

The major part of the fund in a library is the operating fund. For fund accounting purposes the operating fund can be divided into restricted fund and unrestricted fund. Unrestricted fund allows flexibility in use for purposes other than that specified whereas restricted fund cannot be used for other purposes.

The cardinal principle of fund accounting is that every financial transaction is charged to some account and a record exists of what the transaction involved. The fund accounting system should allow for verification of all the transactions and provide an accurate report. Proper fund accounting by allowing one to know how much money is spent, how much is left and how much is encumbered or committed aids the budgetary control process and enables a continuous checking and reviewing of the situation and examination of the need for reallocation or re-appropriation of funds. It makes clear to the spender how much amount he has spent and how much is left, so that there is neither under-spending nor over-spending.

It helps the administration to remain alert against misappropriations and maladjustments. Before setting up a book keeping system, the librarian should consult the finance section to determine the procedure of accounting so as to serve best their mutual purposes.

 <i>Notes</i> Fund Accounting helps in planning future budgets and for making special studies.
--

**Self Assessment**

Fill in the blanks:

1. Accounting means a systematic ..... of the income and expenditure flow on records.
2. The major part of the fund in a library is the ..... fund.
3. The ..... accounting system should allow for verification of all the transactions and provide an accurate report.



Caselet

### GAAP Provides Level Playing Field

**G**enerally Accepted Accounting Principles (GAAP) require the recognition of transactions, methods of valuation and disclosure of information in a way that is often confusing and complex to business owners and probably even the users of financial statements. Ironically, GAAP is supported by a governing body, the Financial Accounting Standards Board (FASB), for the expressed purpose of providing transparency and consistency among all entities issuing financial statements. This enables users of the information, such as lenders and investors, to make informed decisions about a business's financial condition and performance.

As the business world and financial transactions have become more complex, so have accounting rules. Smaller, closely held businesses are often required to present GAAP-based financial statements for their bank or bonding companies, and this usually requires the assistance of external accountants with expertise in GAAP accounting.

When you start out with a small business, you're generally concerned only with cash-based transactions. "What did I deposit and what have I paid out?" Eventually, you realize that you need to be slightly more sophisticated and begin to track what customers owe you, and what you owe vendors. This is the foundation of "accrual" accounting and the root of GAAP.

Soon, you start tracking additional accruals (showing the liability for an expense you've incurred, but haven't been billed for), capitalizing long term assets on the balance sheet and depreciating them over time.

Finally, the business may find itself with contracts, sophisticated financial instruments like interest rate SWAPs or hedge contracts. These items have rules about how to value and record them in financial statements so a user fully understands the financial impact of legal obligations and expected benefits.

Lenders and other users of financial statements typically have thresholds for requiring GAAP financial statements because those prepared on a cash or income tax basis may not be perceived to provide a complete picture. But in the case of many closely held businesses, the leap to GAAP-based statements can add cost and complexity to compliance which may be difficult to achieve.

Source: <http://www.reacpa.com/it-is-greek-to-me-understanding-the-importance-of-gaap>

## 8.2 Purpose of Library Accounting

Every library needs to maintain good records to track how much money they have, where it came from, and how they spend it. These records are maintained by using an accounting system. Even if you do not own or run a business, as an accountant you will be asked to provide the valuable information needed to assist management in the decision making process. In addition, these records are invaluable for filing your library's tax returns. Information is needed by various people involved directly and indirectly in a business organization:

- (i) **Owners:** The owners provide funds or capital for the library. They possess curiosity in knowing whether the business is being conducted on sound lines or not and whether the

Notes

capital is being employed properly or not. Owners, being businessmen, always keep an eye on the returns from the investment. Comparing the accounts of various years helps in getting good pieces of information.

- (ii) **Management:** The management of the library is greatly interested in knowing the position of the firm. The accounts are the basis; the management can study the merits and demerits of the business activity. Thus, the management is interested in financial accounting to find whether the business carried on is profitable or not. The financial accounting is the “eyes and ears of management and facilitates in drawing future course of action, further expansion etc.”
- (iii) **Creditors:** Creditors are the persons who supply books and other material to the library on credit, or bankers or lenders of money. It is usual that these groups are interested to know the financial soundness before granting credit. The progress and prosperity of the firm, two which credits are extended, are largely watched by creditors from the point of view of security and further credit. Profit and Loss Account and Balance Sheet are nerve centres to know the soundness of the firm.
- (iv) **Employees:** Payment of bonus depends upon the size of profit earned by the firm. The more important point is that the workers expect regular income for the bread. The demand for wage rise, bonus, better working conditions etc. depend upon the profitability of the firm and in turn depends upon financial position. For these reasons, this group is interested in accounting.
- (v) **Investors:** The prospective investors, who want to invest their money in a firm, of course wish to see the progress and prosperity of the firm, before investing their amount, by going through the financial statements of the firm. This is to safeguard the investment. For this, this group is eager to go through the accounting which enables them to know the safety of investment.
- (vi) **Government:** Government keeps a close watch on the firms which yield good amount of profits. The state and central Governments are interested in the financial statements to know the earnings for the purpose of taxation. To compile national accounting is essential.
- (vii) **Consumers:** These groups are interested in getting the goods at reduced price. Therefore, they wish to know the establishment of a proper accounting control, which in turn will reduce to cost of production, in turn less price to be paid by the consumers. Researchers are also interested in accounting for interpretation.
- (viii) **Research Scholars:** Accounting information, being a mirror of the financial performance of a library, is of immense value to the research scholar who wants to make a study into the financial operations of a particular firm.

To make a study into the financial operations of a particular firm, the research scholar needs detailed accounting information relating to purchases, sales, expenses, cost of materials used, current assets, current liabilities, fixed assets, long-term liabilities and share-holders funds which is available in the accounting record maintained by the firm.



*Notes* The purpose of a library accounting system is (a) to show that all applicable legal provisions have been complied with; and (b) to represent fairly and accurately the financial position (Balance Sheet) and results of financial operations (Income Statement) of the library's funds and account groups.

## Self Assessment

Notes

Fill in the blanks:

4. .... are nerve centres to know the soundness of the firm.
5. .... are the persons who supply books and other material to the library on credit, or bankers or lenders of money.

## 8.3 Financial Records of Library

All institutions which want to survive must meet certain standards of business organization and the library is no exception to the general rule. Its financial records, like its budget, should be set up in accordance with the main accounting procedures of the parent office. It is no longer considered a good practice to maintain a separate library account, handled directly by the librarian. In most institutions, all library payments are made through a central office. The finance section of the organization maintains the library account while the library maintains the records of outstanding orders, bills forwarded, etc.

As stated earlier, the main purpose of library accounting is to keep expenditures within the budget. In addition, accounting helps in the preparation of the annual report and budget provides the factual monetary basis for making decisions assists the departments in making a wise and systematic use of funds and provides information for library reports, studies surveys.

Most of the libraries keep their financial records according to a single-entry system. Though a certain amount of diversity is found in the maintenance of financial records in different libraries, one main point to be kept in mind is that these records should be the simplest possible, consistent with efficiency and should permit rapid and convenient checking against office ledgers. Some of the records libraries normally maintain are explained below:

**Cash Book:** The cash book is a record in which details of daily cash transactions regarding income and expenditure of an institution are entered. But in many libraries, the librarian does not maintain a cash book, because the financial transactions generally take place through the administrative office, and not directly through the librarian. However, the libraries which take some amount towards contingency expenditure do maintain a record in the form of a cash book.

Here is a specimen of the cash book of a library

RECEIPTS					EXPENDITURE				
Date	Particulars	No. & Date of Voucher Credited	Head of Account to be	Amount ₹ Ps	Date	Particulars	No. & Date of Voucher Debited	Head of Account to be	Amount ₹ Ps
Total:					Total:				

**Ledger:** A ledger is a book in which the budget provision for income is given at the top and expenditure on all items and subjects is entered one after the other.

Notes

Here is a Specimen of a ledger

Name of the library: \_\_\_\_\_ Year: \_\_\_\_\_

Budget provision: \_\_\_\_\_ ₹ Head: \_\_\_\_\_

SL.No.	Name of vendor	Bill No.& date	Amount	Amount passed for payment	Progre-ssive total	No.of books	Subject mark	Signature of librarian
1	2	3	4	5	6	7	8	9

**Allocation Register or Allotment Register:** In the allocation register accounts are maintained head-wise and subject-wise. Separate financial records are maintained in the library for books, periodicals, binding, stationery, contingency, postage, etc. under approved budget heads. It helps us in knowing, at any point of time, how much money under what head and on which subject is spent or committed/ encumbered and how much remains as balance to be spent. Technically speaking, though the ledger and the allocation register are two different records, their purposes are the same.

Here is the specimen of an allocation register

Name of library: \_\_\_\_\_ Year: \_\_\_\_\_

Head of demand: \_\_\_\_\_ Provision of amount allotted: ₹ \_\_\_\_\_

S.No.	Name of vendor	Bill No.& date	Amount	Amount passed	Progre-ssive total	Bal-ance	No.of books	Sub-ject	Sign of incharge	Sign of libra-rian
1	2	3	4	5	6	7	8	9	10	11

**General Invoice Register or Bill Register:** The specimen of a bill register is as under:

Name of library: \_\_\_\_\_ Year: \_\_\_\_\_

SL.No.	Bill No.& date	Name of firm	Amount	Sign of librarian	Sign of bill receiver	Remarks
1	2	3	4	5	6	7

In this register the serial numbers given in column one are termed as the voucher number of this bill. The office copy of each bill is arranged in a serial number in a separate file after the same has been processed and paid for. This arrangement helps the library staff in finding out any information regarding any item at any time as the voucher number of the bill links it to all registers in library sections and relevant records.

**Monthly Expenditure Statement:** This statement helps the operator of each head of expenditure to know the latest position of the grant at the end of every month. A specimen of the monthly expenditure statement is given below:

Notes

Name of library: Year:					
Allocation: ₹					
Month	Expenditure	Cumulative expenditure	Balance	Sign	Remarks
April					
May etc.					

**Salary Bill Register:** The salary bill register of the library staff is a detailed document of the salaries during a particularly year. It contains information relating to salary and deductions of library staff. In this register all the entries are made by the accounts section except the leave records of the library staff, which is filled in by the librarian.

**Record of Petty Cash:** In general, petty cash accounts are handled in two ways: (1) Turning fine and replacement money into petty cash directly, (2) Fine and replacement money are collected directly by the accounts office and this amount is made available to the library in the form of petty cash.

**Equipment Record or History Card:** Another useful record for the library is a card file of major equipment. This should be made in duplicate, one copy to be kept in the main administrative office and the other in the library's files. It should indicate the name of the item, the date of purchase, the cost, and such information as serial numbers (e.g. typewriters). This record facilitates equipment purchase and replacement, makes possible a more considered judgement in placing replacement orders or in deciding repair versus replacement, and also provides an accurate inventory for insurance and other purposes.



**Task** Give the headings of an invoice register.

## Self Assessment

Fill in the blanks:

- The ..... is a record in which details of daily cash transactions regarding income and expenditure of an institution are entered.
- In the ..... accounts are maintained head-wise and subject-wise.
- The ..... contains information relating to salary and deductions of library staff.

## 8.4 Financial Audit of Library

Lastly, the financial audit part of the process enables a meticulous but sample scrutiny of financial transactions to have proper control over irregular, inappropriate and wasteful expenditures. Auditing is a scrutiny of the financial transactions of government and semi government bodies. It provides control over irregular, inappropriate and wasteful spending. It is deemed necessary from the authority's point of view for their satisfaction.

Libraries and information centres normally have post-audit by external/central/statutory auditors, who usually look into the loss of reading materials, irregularities in procurement processes and outstanding advance payments and supplies. Even though two types of audit

**Notes**

systems are prevalent in our country, government departments and libraries generally follow post-audit. Post-audit means that the drawing and disbursing officer prepares the bills, signs them and sends them to the treasury/bank/principal for payment. The drawing and disbursing officer is responsible for the correctness of the bills. The officer or the librarian must satisfy himself fully before signing the bill. In the post-audit system, only random audit is resorted to, after the financial year comes to a close. Every item is not checked, but some months are selected at random. Payment items occurring during these selected months are thoroughly and minutely verified. Mistakes, if any, are pointed out. The person concerned is advised and warned to be cautious in future.

The pre-audit system is generally followed in autonomous bodies in which the audit is under the local fund account. In case of pre-audit, no item can be passed for payment unless it has been first audited. The pre-audit system reduces the responsibility of the drawing/d disbursing officer in the sense that all the necessary verifications such as checking of items, accessioning of items, charging of approved rates, correctness of calculations, debiting to proper heads of account, etc. have already been done by the audit section in advance. Here instead of the drawing officer, the auditors satisfy themselves before the bills are passed for payment. Auditing is carried out both by an internal audit team as well as an external/statutory audit team. The problem of collecting and noting of vouchers does not arise in pre-audit procedures. This simplifies matters somewhat and reduces the auditing responsibility of the librarian.



*Did u know?* The Auditor of State recommends that all public entities establish an Audit Committee to serve as a liaison between management and its auditors. The Audit Committee should consider conducting a comprehensive self-evaluation on an annual evaluation.

**Self Assessment**

Fill in the blanks:

- 9. .... is a scrutiny of the financial transactions of government and semi government bodies.
- 10. .... means that the drawing and disbursing officer prepares the bills, signs them and sends them to the treasury/bank/principal for payment.
- 11. In case of....., no item can be passed for payment unless it has been first audited.



*Case Study*

**Ohio Public Library Accounting**

**Audit Materials**

An audit of the library's accounting records is conducted generally every two years if the library is reporting on a cash basis, provided the library has received no federal funding. If federal funds are received, the library may qualify for a yearly audit under the Federal Single Audit Act of 1984. For those libraries reporting on a GAAP (Generally Accepted Accounting Principles) basis, the audit is conducted yearly. For more information about the differences of cash basis vs. GAAP.

*Contd...*



The following are items that you should have ready in advance for the auditors.

#### **Minute Book**

- It is a good practice to have an index to the minute book including all resolutions, each with a brief description.
- Be sure that the election of the fiscal officer and the appointment of the deputy fiscal officer and their salaries are authorized by resolution and that the bond coverage goes from organizational meeting of the current year to the organizational meeting of the following year.
- Resolutions must be passed to authorize the fiscal officer to pay all necessary bills, establish funds, and make investments for the library.
- Resolutions must be passed accepting any donations and gifts and these amounts must accurately reflect those recorded in the receipts ledger.
- If interest on investments is to be posted to a fund other than the fund from which it is earned, the board must pass a resolution to that effect. Currently, the Auditor of State's opinion on this is that interest should only be posted to the General Fund, but may later be transferred to another fund by board resolution.
- Make certain that all appointments, merit increases, vacation, and sick leave authorizations agree with your payroll entries.
- All minutes must be signed by the library board president and by the library board secretary (or those persons acting in their capacity in case of absences) to attest to their accuracy.

#### **Narrative on Procedures**

It is suggested that you write a formal narrative for step-by-step procedures for accountability regarding investment procedures, handling of receipts, expenditures, inventory, and payroll. Include such information as:

- *Investments*
  - ❖ Explain how you contact financial institutions regarding becoming a depository for interim or active funds, who decides how funds will be invested, etc.
  - ❖ Have an investment policy.
- *Receipts*
  - ❖ Explain procedures that persons handling the money must follow.
  - ❖ If copy machines are used by the public and are coin-operated, explain how you reconcile money collected with number of copies made.
  - ❖ Account for any other receipts, such as gifts and state revenue, and report who receives the money and how it is recorded.
- *Expenditures*
  - ❖ Explain step-by-step procedures including who initiates the expenditure and approves requisitions, assigns purchase order (P.O.) numbers, encumbers, types (or prints) the P.O., approves payment, pays bills, and the filing method for checks/vouchers and invoices.

*Contd...*

Notes

- **Inventory**
  - ❖ Explain how you keep your inventory, assign inventory numbers, delete and add items, or transfer location of assets where applicable, etc.
- **Payroll**
  - ❖ Explain your payroll process, how times/hours worked by employees are recorded on time sheets or timecards, what the approval process is, any special procedures for requesting and approving adjustments from scheduled times/hours such as employee leaves, what the process is once the records are received by the fiscal officer all the way through to the distribution of checks for wages, deductions, taxes, etc.
- Internal control
  - ❖ Explain how each of the above areas is safeguarded from errors and misconduct.

**Investments**

Keep a file folder on all depository and repurchase agreements as well as a folder on pledged collateral or statements representing the pool of securities.

Keep all Certificates of Deposit (CDs) in a secure safe place with copies of the CDs at the library to prove their existence and for reference purposes.

Make sure your investment ledger reflects account numbers, interest rate, and length of time to maturity of each investment.

**Bank Reconciliations**

- Keep all bank statements and bank reconciliations in chronological order.
- Keep all cancelled checks in numerical order. Include any voided checks in the numerical order, making sure voided checks have the signature area cut out.
- Keep all duplicate deposit slips in chronological order.
- Have outstanding check lists available and see that they include the check number, date, and amount.
- For better internal control, if staffing time and ability allows, have a different staff member reconcile the bank statement several times a year and sign the reconciliation.
- If the bank statement includes any unusual item, a description of the item should be included on the reconciliation.

**Other Items to Have Ready for the Auditor**

- Documentation for receipts (daily tally sheets or cash register tapes).
- Bonds and insurance coverage documentation.
- Information on lawsuits pending or settled during the audit period.
- Annual Budget, Certificates of Estimated Resources, and Certificates of county auditor that the Appropriation Does Not Exceed the Official Estimate of Balances and Revenues.
- Annual financial report to Auditor of State and monthly financial reports to the board of library trustees.

Contd...

- Temporary and permanent appropriations and any amendments for board approved modifications.

#### Accounting Records (cash journal, receipts, and appropriation ledgers)

- Payroll information – time sheets or timecards, sick leave and vacation records, tax information (federal, state, city), OPERS reports, accumulated and unpaid vacation and sick leave balances, etc.
- Organizational chart, salary schedules, staff handbook, current policies.
- Documentation regarding trusts, endowments, and federal funds.
- Fixed assets inventory.

#### Questions

1. Explain the purpose of financial audit of the library.
2. What all items are required for the Audit of a library by an Auditor? Elaborate.

Source: <http://www.olc.org/AccountingHandbook/LibraryAccountingHandbook4thedition82608.pdf>

### 8.5 Summary

- The final aspect of financial management is that of keeping accurate records of the money spent, and of the remaining balance.
- Accounting means a systematic maintenance of the income and expenditure flow on records.
- The fund accounting system should allow for verification of all the transactions and provide an accurate report.
- There are standard procedures and rules for maintaining different types of records of expenditure which are described with examples.
- Library expenditure is subject to audit to ensure that the expenditure has been according to norms, rules and procedures.
- Libraries and information centres normally have post-audit by external/central/statutory auditors, who usually look into the loss of reading materials, irregularities in procurement processes and outstanding advance payments and supplies.
- Auditing is a scrutiny of the financial transactions of government and semi government bodies. It provides control over irregular, inappropriate and wasteful spending.

### 8.6 Keywords

**Accounting:** A systematic maintenance of the income and expenditure flow on records.

**Auditing:** It is an official examination of accounts and scrutiny of financial transactions of a government or non-government body/institution.

**Cash Book:** The cash book is a record in which details of daily cash transactions regarding income and expenditure of an institution are entered.

**Creditors:** Creditors are the persons who supply books and other material to the library on credit, or bankers or lenders of money.

**Notes**

**Financial Records:** Documents which keep track of library expenditure i.e., cash book, ledger, salary bill register, allocation register, etc.

**Post-audit:** Post-audit means that the drawing and disbursing officer prepares the bills, signs them and sends them to the treasury/bank/principal for payment.

**Single Entry:** Entries showing only expenditure.

**Unit Cost:** Cost of a single unit of operation, e.g. cost of cataloguing a single book.

**Unrestricted Fund:** Unrestricted fund allows flexibility in use for purposes other than that specified.

### **8.7 Review Questions**

1. State the reasons for keeping financial records.
2. Describe the Fund Accounting.
3. Explain the types of records libraries normally maintain.
4. Describe the purpose of Library Accounting.
5. What is an allocation register?
6. Which register keeps the record document of the salaries during a particularly year?
7. How is the record of petty cash maintained?
8. State why auditing is necessary in a library.
9. Explain the types of audit systems.
10. Define post-audit.

### **Answers: Self Assessment**

- |                        |                         |
|------------------------|-------------------------|
| 1. maintenance         | 2. operating            |
| 3. fund                | 4. Balance Sheets       |
| 5. Creditors           | 6. cash book            |
| 7. allocation register | 8. salary bill register |
| 9. Auditing            | 10. Post audit          |
| 11. pre-audit          |                         |

### **8.8 Further Readings**



*Books*

C.K. Sharma, Kiran Singh. 01-Jan-2005. *Library Management (Vol 1)*, Atlantic Publishers & Distributors.

D.K. Pandey. Jan, 2004. *Library and Information Science*. Atlantic Publishers & Distributors.

Richard E. Rubin. Third Edition. *Foundations of Library and Information Science*. Neal-Schuman Publishers New York London.

**Notes**



*Online links*

[http://www.michigan.gov/documents/hal\\_lm\\_finmanref1\\_66294\\_7.pdf](http://www.michigan.gov/documents/hal_lm_finmanref1_66294_7.pdf)

<http://www.ous.edu/dept/cont-div/fpm/fixe-55-105>

<http://www.accountingsoftwareworld.com/terms-tools/selection-tools>

<http://www.gaylord.com/listing.asp?H=7&PCI=132169>

<http://www.loc.gov/about/oig/reports/2010/rpt2010marchrecordsmgmtpgm.pdf>

## Unit 9: Acquisition Section

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### Objectives

After studying this unit, you will be able to:

- Explain appropriate action to tackle the problems and issues involved in acquisition work
- Describe the factors behind selection, procurement and accessioning of documents
- Describe the various jobs relating to these functions to establish routines
- Explain the routines according to set procedures
- Discuss the process to Create, maintain and handle records, registers and files of the acquisition division

### Introduction

Information sources building, an important function of the library should be based on sound policies and programmes. It involves a series of operations performed according to systemic

procedures. Collection development, another important function of the library, should be based on such policies and programmes as would:

- (a) Enable the library regularly to receive the books, periodicals, reports, memoranda, standards, specifications, etc., published all over the world as quickly as possible; and
- (b) Facilitate timely access to the users of the original documents required and also enable them to be continuously aware and knowledgeable about the developments in their respective areas of interest.

Building a collection of documents and kindred materials is a major and important function of a library. In the earlier units of this block, you have been exposed to some of the theoretical aspects of collection building, such as principles of book selection, different types of documents and selection tools that aid the process of selection, leading to a broad policy of book selection. In this unit, you would learn the practical operations involved in the actual acquisition of the various types of documents for the library.

The task of building up a collection of documents is entrusted to the acquisition section of a library, which functions on the basis of the aims and objectives of the library and is in tune with the general scope of the activities and services of the library. Acquisition work consists of a series of operations, involving a number of routine jobs which have to be systematically planned and operated.

Acquisition work comprises three distinct functions, viz., selection, procurement and accessioning. The first two functions pose a number of problems in planning and organising the work of the acquisition department. These functions and the problems are explained in this unit.

In the actual operation of these different functions, a number of records, registers, and files have to be designed, created, maintained and handled.

## 9.1 Acquisition Department

Libraries are organized into units/departments/sections based on the functions that they are expected to perform. Acquisition Department (AD) is one among them and is concerned with various activities relating to collection development. Its objective is to build up information resources in conformity with the objectives of the parent institution on the one hand, and that which is suitable to the differential information requirements of the different users on the other. It involves the processes of selection, procurement and accessioning of documents. The requirements of selection and acquisition are given below:

- **Selection requires:**
  - ❖ A Selection Policy (involving a statement about users and needs; subject, topic or mission to be dealt with and type of information sources to be covered).
  - ❖ Selection Aids and Tools which will help in selection and verification.
  - ❖ Specification of a Selection Process (involving decisions on who selects; procedures for judging intrinsic value of information in sources and procedures for judging demand and user appropriateness).
- **Acquisition/Procurement requires:**
  - ❖ Procedures for procurement of necessary information sources. In cases where no outright procurement is planned or possible procedures for access to sources, e.g., getting on loan, photocopying pertinent sections, getting permission to use them in another information centre/ system, etc., have to be set.

Notes

- **Accessioning Requires:**
  - ❖ Specification of procedures for taking all the books and documents acquired to be added to the stock of the library which involves the assignment of a serial number called Accession Number and, if applicable, a Donation Number. Every item, and its bibliographic details thus, entered in the Accession Register.

Thus, these three successive stages of operations – selection, procurement and accessioning – correspond to the three sections of the Acquisition Department.

The collection of a library, as you know, can contain various types of documents. Some libraries may have a special preference for specific types of documents. However, in most libraries books form the major part of the collection. It is, therefore, usual to refer to the activities in AD as book selection, book ordering and book accessioning respectively. Nevertheless, it may be noted that acquisition of all types of documents comes within the scope of AD. However, there is one exception. Acquiring current issues of periodicals and newspapers is not done by AD. Instead it is done by the Periodicals Department.

AD has a very crucial place in the overall organization of a library. Its importance lies in the fact that collection is the basic factor in the usefulness of a library and that collection development is primarily the task of this department. AD, therefore, must organize the resources made available to it (men, materials and money) in such a way as to facilitate the building up of the collection in the most efficient and economical way. The fulfilment of this task involves all the basic elements and sound principles of scientific management.



*Notes* AD has to deal with periodicals and newspapers only when they are received as bound volumes.

**Self Assessment**

State whether the following statements are true or false:

1. Acquiring current issues of periodicals and newspapers is done by AD.
2. Selection requires specification of a selection process.



*Caselet*

**Department of National Library**

**A**cquisition section is responsible for purchasing books from writers, preparing purchase orders to submit them to the specialized committees in the Department. The Section follows up the receipt, processing and supply the Department with the necessary books and works as requested and when necessary. The tasks of the section are not only supply by way of purchase from authors, but also addressing requests from staff regarding the purchase of significant books that may enrich the Directorate of library services or other directorates in the Department. The main tasks of this division can be summarized as follows:

1. The Section prepares all the books that are purchased or deposited or donated by other parties and sending them to the indexing and classification section/Deposit centre if they need technical treatment. The section then recorded them in the system,

*Contd...*



sealed them and prepares the lists of books that need binding. Then classification number is fixed on the books that do not need binding and send them to the library and put them on the shelves.

2. Promoting the Jordanian Authors through purchasing their books under specific conditions and controls.
3. Enriching gift and exchange Section through the purchase of books from authors.
4. Co-ordination with other sections in the National Library to identify the necessary and important cultural resources that its purchase can benefit in enriching the public library.
5. Select books that need technical treatment and sending them to Indexing and Classification Section.
6. Registering books received by the National Library, regardless of their origin and their data entry to the existing systems.

Source: <http://www.nl.gov.jo/en/nl/libservicesdirectorates/pages/acquisition.aspx>

## **9.2 Book Selection**

Acquisition work includes three distinct phases of activities. Document selection is the first phase. There are two aspects in document selection, namely, planning and procedure. These are discussed below:

### **9.2.1 Planning**

Planning here relates to the various preparations and arrangements you have to make to carry out the procedure efficiently. Book selection is conditioned by three factors: demand, supply and finance. Planning, therefore, must be mainly concerned with these factors. Demand and supply must be known, and finance secured. Further, men and materials required for the work need to be arranged. Echoing similar views, Ranganathan suggest that the distinctive work of Book Selection is to be planned with reference to the following four factors: Sources, Selection, Indent and Finance. You will examine below these aspects of planning under four heads, namely:

- Ascertaining demand
- Finding resources
- Allocating funds
- Arranging personnel

#### **Ascertaining Demand**

Since demand is a basic factor in selection you have to develop a system for ascertaining the demand. Demand includes both expressed wants and unexpressed wants and unexpressed needs of readers. Similarly, needs of both actual and potential readers should be taken into account.

Perhaps, the following sources can be made use of in ascertaining demand:

- Statistics relating to books circulated from, and consulted in the library;
- Suggestions from library staff working in the service departments;
- Suggestions from readers;

**Notes**

- Indents from subject experts or departments;
- Findings of user need survey conducted;
- Syllabi and prospectuses of courses of studies; and
- Profiles of researchers.

Demands have to be assessed in terms of their volume, value and variety. The final rating of the demand should COMIM with the selection policy of the library. Each library ought to have its own broad selection policy. Some libraries even have a written statement of this policy. In either case, the policy is the basic guideline in selection of documents.

**Finding Resources**

As said earlier, supply is another basic factor. Supply means availability of documents for acquisition. Information regarding supply can be collected in the form of various selection sources or tools. The library will be regularly receiving various source materials. If not, they have to be acquired. A good source collection may contain the following:

- Trade catalogues issued by individual publishers and booksellers
- Book trade journals
- Previews and announcements issued by publishers
- Book reviews appearing in newspapers and journals
- Book reviewing journals
- Book selection lists brought out by competent bodies
- List of textbooks prescribed for various courses of studies
- Published catalogues of book exhibitions
- Published catalogues of important libraries
- Subject bibliographies and subject guides to selection
- National bibliographies
- Comprehensive retrospective bibliographies
- Catalogues of second-hand booksellers

The sources have to be sorted and stored for convenient use. Updating of the sources and weeding out of old ones should be done on a regular basis.

**Allocating Funds**

Finance is the most important factor in document selection. Proper planning of finance is basic to good acquisition work. Every library works according to its budget. The total budget of the library will include a separate provision for books. This amount will have to be apportioned among three heads, namely books, periodicals, and binding. This amount thus set apart for books is the budget placed at the disposal of the Acquisition Department. This amount has to be used for purchase of books and other types of documents except current periodicals. For the balanced development of the collection, the books budget should be allocated among different subjects and categories. This budget allocation is done by the library authority or its delegated body like the Book Selection Committee. The librarian and the acquisition staff are also involved in this process since they are the people to provide the information required for budget allocation

to the authorities. Such information may relate to an actual and the potential needs of the clientele, the current and future programmes of the parent institutions, the strength and weakness of the existing collection, the price range of publications in particular subjects, etc. These and other types of information can also be used by the library to obtain enhanced budget provisions. However, once the allocation is finalised, acquisition work has to conform to the financial discipline dictated by it.

### Arranging Personnel

Planning for document selection should also cover the personnel or human factor. The people involved in the selection process are the librarian, the acquisition staff, the subject experts and the library authority or selection committee. The ultimate responsibility for book selection rests with the librarian. The acquisition staff is there to help him. But, neither the librarian nor his staff are experts in all the different subjects. Therefore, it becomes necessary to take help from subject specialists. The selection committee may or may not be composed of subject experts. Nevertheless, committee level decisions have the advantage of being more democratic and participatory. You must remember that document selection is not a one man job. It should be the outcome of good team work. Therefore, you must be very prudent in choosing the members of this team. This applies to both the acquisition staff and the subject experts. You need to maintain a panel of subject experts who will be willing to participate in the selection process by giving objective opinions and advice.



*Task* Name the person(s), group(s) and committee(s) that are involved in the process of selection of documents for a library.

### 9.2.2 Procedure

The actual process of document selection may be initiated in different ways. The acquisition staff take note of the desirable items and presents them to the subject experts for approval. Alternatively the subject experts themselves or the subject departments may make indents for items they recommend. In both instances, the acquisition staff are responsible for the routine jobs connected with selection. It is their duty to collect, complete and correct information on the documents. So also it is their risk to allow all unnecessary and unintentional duplications. Therefore, adequate care should be taken to ensure that the items selected are not already available in the library. An acceptable selection procedure can be outlined as follows:

- (a) **Scanning:** All the currently received sources should be scanned regularly. Old sources should be scanned only for specific needs. Items found desirable may be ticked off in the sources: Your knowledge about the existing collection and about the items already selected or ordered will help you in avoiding duplication at this stage. If necessary, the marked items may be forwarded to the librarian and his concurrence obtained.
- (b) **Scrutiny:** The purpose of scrutiny is to rule out the possibilities of unnecessary duplication. This is done by checking the marked items with the following:
  - ❖ Items selected earlier, by checking the "Books Selected" card tray;
  - ❖ Items ordered already, by checking the "Books-on-Order" card tray;
  - ❖ Items already received, by checking the "Books Received" card tray and the "Book-in-Process" card tray;
  - ❖ Items available in the library, by checking the catalogue.

**Notes**

- ❖ Only such items which are cleared after the above scrutiny are retained with tick marks.
  - ❖ Others are scored out. Now you have completed the provisional selection stage.
- (c) **Recording:** The purpose of recording is to make complete data available on each of the provisionally selected documents. The unit record can be a standardised selection card of the size 5" × 3" with appropriate columns printed. The following are the essential data elements to be covered by a selection card:
- ❖ Broad subject name or class number
  - ❖ Full name(s) of author(s)
  - ❖ Full title with sub-title, if any
  - ❖ Edition number, if any
  - ❖ Imprint (place, publisher & year)
  - ❖ Series name, if any
  - ❖ Collation, like number of pages, type of binding, etc., and size
  - ❖ ISBN, if any
  - ❖ Price

There are also some desirable elements, to be included, like:

- ◆ Reference to source/indent/suggestion
- ◆ Name of the subject expert granting approval
- ◆ Order number and date
- ◆ Name of the vendor with whom ordered
- ◆ Number of copies ordered
- ◆ Date of supply
- ◆ Bill number and date
- ◆ Date of payment
- ◆ Amount paid
- ◆ Accession number

All the essential information may not be found initially. You will have to use appropriate bibliographical tools and complete the columns in the selection card as far as possible. The desirable information listed above is provided for in the cards since they would explain the workflow regarding each item.

- (d) **Consulting:** Consulting work can be done at prescribed intervals or as and when needed for placing an urgent order. For this purpose, subject lists are typed out from the cards in the "Books Selected" tray. Each list should be forwarded to the concerned subject expert with the request that he should return the list after considering every item and making his specific recommendation as to whether "approved", "rejected" or "deferred". Once the list is received back from the expert, you must carry forward the recommendations to the respective cards. Cards relating to the "rejected" items must first of all be removed and disposed of. Cards of the "approved" items must be duly noted and removed to another tray labelled as "Books Approved". These items can be presented again to the experts whenever it becomes necessary.

(e) **Indents Passing:** As and when indents are received from experts or departments they must be subjected to the same process of scrutiny. Items found already available in the library or on order should be scored out unless additional copies are recommended. Clarification on this point can be sought from the indenter. After scrutiny, the indent has to be costed. For this, the price of each item should be ascertained from proper sources and the total value involved estimated. The indenter should then be informed of the financial position through an Indent Noting Form. The following details should be included in the Indent Noting Form:

- ❖ Number of items recommended
- ❖ Number of items already available or on order
- ❖ Number of items recommended for additional copies
- ❖ Estimated cost of items neither available nor on order
- ❖ Estimated cost of items to be duplicated
- ❖ Total estimated cost
- ❖ Total allotment for the subject/department
- ❖ Amount already appropriated
- ❖ Balance amount available
- ❖ Remarks, if any.

In the light of the above financial report, the indenter would be making suitable adjustments in the items intended or reconfirm the indent. In either case, the next job is recording the items and merging the cards in the “Books Approved” tray.

(f) **Sanction Obtaining:** Book selection becomes final only when the formal sanction is obtained from the librarian or any other sanctioning authority. For this purpose, separate lists have to be typed out from subjects or categories of documents as per the classification in the budget allocation. Necessary financial report also should be prepared to accompany the lists, including the total estimated cost, total allotment in each case, amount already appropriated, and balance budget available. Sanction is obtained for each list. If any alteration or deletion is made in the list the same should be entered in the respective cards also.



*Did u know?* Cards belonging to the “deferred” items may be separately kept in another tray labelled as “Books Deferred”.

## Self Assessment

State whether the following statements are true or false:

3. Book selection is conditioned by three factors: demand, supply and finance.
4. Each library ought to have its own broad allocation policy.
5. The total budget of the library will include a common provision for books.
6. This budget allocation is done by the library authority or its delegated body like the Book Selection Committee.
7. Cards of the “rejected” items must be duly noted and removed to another tray labelled as “Books Approved”.

## **9.3 Procurement Procedure**

Once selection is finalised the library has to proceed with the procurement of documents. Hence, this section is devoted to the work of procurement, its planning and procedure.

### **9.3.1 Planning**

Procurement has to be planned with due regard to matters like different means of procurement, preparations and arrangement for ordering, like the choice of the supplier and the terms and conditions of supply, the different types of orders to be placed, etc. These are the points elaborated below:

#### **Means of Procurement**

Books and other documents can be acquired by five distinct methods. They are:

- Gifts/donations
- Exchanges
- Purchase
- Institutional membership
- Deposit system

Since library can have unlimited funds for acquisition of reading materials appropriate to the users' needs, it is suggested that a library procure documents using all the methods, the preferred sequence being gifts, exchange and purchase.

- (i) *Acquisition through Gifts/Donations:* Gifts and donations constitute an important source acquisition of reading materials in a library. Many a library has benefited enormously by accepting gifts and donations. Perhaps, it is a good practice to solicit gifts and donations. However, one must be careful in accepting them as it may cause administrative problems involving the procedure of acceptance, technical processing, placement, and maintenance. In addition, cost of maintenance should be considered before accepting gifts.

Generally, individuals bequeath their personal collections. While some may not put conditions, others do. For example, they may insist that all documents (irrespective of whether they are useful or not) should be accepted and also that they should be placed as a special collection. This may not be acceptable to the library concerned due to:

1. Irrelevance of some documents to the subjects of interest of the institution.
2. Difficulty in maintaining as a separate collection as merging with the general collection is more helpful.
3. Space considerations.
4. Financial considerations, like cost of maintenance, etc.

Thus, the librarian should make it clear to the donor, right at the beginning, that he is willing to accept the gift collection only and only if he is given a free hand to take decisions – of integrating into the general collection, discarding, exchanging, etc., – regarding its use or otherwise. Hence, it is suggested that every library should formulate a policy regarding acceptance or rejection of gifts.

In addition to personal collections, there are unpriced publications distributed free by many agencies. These also come under the category of gifts. Hence, it is necessary that the

librarian be vigilant enough to observe and request for such publications. To ensure that he does not miss such announcements, the librarian should write requesting that the name of his institution be put on the mailing list of these agencies.

Some libraries are designated as Deposit Centres and receive free copies of publications brought out by Governmental and non-governmental organizations.

Notes



*Example:* Karnataka University Library is a Deposit Centre for U.N. Publications. Under provisions of the copyright Act or the Delivery of Books and Newspapers (Public Libraries) Act, 1956, some national and state level libraries receive free copies of all publications originating in India.

- (ii) **Acquisition through Exchange:** Acquisition through exchange is another mechanism by which Collection Development can take place. Of course, it goes without saying that the library should have material (like duplicates or publications of its own or of the parent body) that can be exchanged. The United State Book Exchanges established in 1948 acts as a pool for participating libraries who want to dispose of their duplicate materials of value to get in return other materials which they do not possess. Other examples of organizations facilitating exchange are Medical Library Association, American Association of Law Libraries, American Theological Library Association and UNESCO's Library Division. As a matter of fact, the UNESCO Bulletin for Libraries (when it was existing) used to have a section listing the materials available on an exchange basis from foreign libraries.
- (iii) **Acquisition through Purchase:** Since the library cannot build its collection purely on the basis of gifts and exchanges, acquisition by purchase becomes inevitable. But no library can purchase all relevant documents owing to limitation of financial resources. Therefore, it becomes necessary to make a judicious selection of all documents considered relevant to the library before purchasing them. It is here that Ranganathan's Five Laws of Library Science and Principles of Book Selection come in handy. It is assumed here that the librarian has acquired the necessary knowledge and skill to select the best documents for the library concerned.

In regard to acquisition by purchase, a number of methods are followed by libraries. They are:

- (1) Tender system
- (2) Quotation method
- (3) Direct ordering with publishers
- (4) Standing vendor method
- (5) Dealer Library Plan (DLP)
- (6) Standing order
- (7) Books-on-approval
- (8) Open purchases

These are discussed in detail as follows:

- (1) **Tender System:** In the tender system, each list of books selected is sent to a number of booksellers who are requested to quote their lowest price for each book. The orders are placed with the bookseller offering the lowest quotation for each book. This is a rather cumbersome process and involves a lot of paper work and is time-consuming. As a consequence, the library would be unable to spend the funds within a given

Notes

time resulting sometimes in the lapse of unutilized funds. Further, it is seen that booksellers offering the lowest quotation are unable to supply in time as the concerned books may not be in ready stock with the bookseller.

- (2) *Quotation Method:* In the quotation method, various booksellers are requested to give their lowest quotations for various categories of documents, trade discounts on Indian and foreign books, if any, and the conversion rates for foreign currencies. This procedure is repeated at the start of every financial year. The quotations received are tabulated and approval sought from the concerned sanctioning authority. Generally, firms giving the lowest quotations are selected. Efficiency, organizational and administrative capacity and capability of the booksellers (based on past experience) are considered along with the quotations offered by them.

This method is different from the tender system where the lowest quotation for each book is the basis for the selection of the bookseller.

As this method has not been very successful due to the monetary changes taking place from time to time, a Good Offices Committee consisting of representatives of the Ministry of Education, the University Grants Commission, Librarians, Indian Library Association and Publishers has been formed whose main task is to fix the conversion rates from time to time. These rates are accepted by all. This system has the advantage that books can be ordered from any bookseller who accepts the conversion rates of the Good Office Committee. This simplifies procedures as far as individual librarians are concerned as it is trouble-free and the question of audit objection does not arise.

- (3) *Direct Ordering with Publishers:* Due to the inefficiency of local booksellers, many a library has resorted to the practice of directly ordering with publishers or their local representatives/dealers. This may involve a lot of paper work as far as the individual library is concerned since it involves getting drafts from banks, transmitting them to publishers, correspondence with publishers for non-receipt of documents, etc. But, once the procedures are streamlined, the problems encountered, if any, would be few in number. The difficulties one may encounter in direct ordering are in relation to import licences and foreign exchange regulations.

Direct ordering with publishers in regard to periodicals is extremely advantageous vis-à-vis local vendors.

- (4) *Standing Vendor Method:* Standing vendors are appointed for the supply of books and other reading materials to the library. Their selection would depend on their efficiency as well as the lowest quotations offered. The standing vendors so selected are appointed for a year or two under prescribed terms and conditions of supply. If, subsequent to their appointment, it is found that their performance is far from satisfactory, their appointments would be terminated and new ones made.
- (5) *Dealer Library Plan (DLP):* Under this plan, an agreement is reached between the library and the publishers or a group of publishers whereby the publishers send books as soon as they are published to the concerned library on specific subjects to selector reject them. It may be worth noting that under the DLP, the library may get books earlier than the local booksellers. One of the advantages is that books published are made accessible immediately to the library for selection and procurement. However, one disadvantage may be that the library may receive books not compatible with its particular requirements. This problem can be overcome by the publisher exercising care in sending books relevant to the organization's interests.



- (6) *Standing Order*: Certain books called as Series books, Multi-volumed books, Instalment books, and Subscription books are not published simultaneously but are published over a period of time in different years. Hence, individual libraries resort to the practice of placing “standing orders” so that the library receives the books as and when they are published without any loss of time. This procedure eliminates (1) the need for watching out for publication announcements; and (2) correspondence with publishers/booksellers.
- (7) *Books-on-approval*: In an effort to improve their business, it is a practice among publishers and booksellers to send books-on-approval to libraries for selection and ordering. Alternatively, the librarian and/or the users visit book fairs, book shops and bring books on approval. These books on approval are then scrutinized by a committee for their relevance and those selected are ordered for by the library concerned. This has the advantage that the library can peruse the book before ordering. Any ambiguity that may exist in the title can be verified by going through the contents of the book. In other words, the chances of selecting irrelevant books are reduced. But one disadvantage may be that books sent an approval may be those remaining unsold.
- (8) *Open Purchases*: Once the library has decided about the terms and conditions of supply like trade discounts (say 10% on books) and conversion rates in relation to foreign currencies (like the recommendations of the Good Office Committee), open purchase is possible from any bookseller. Open purchases are becoming common now-a-days.



*Example*: Book Fairs whether in Pragati Maidan at New Delhi or elsewhere are good examples where open purchases are made by librarians.

- (iv) *Institutional Membership*: Institutional membership is another potential resource in collecting documents. The library may enlist itself as member of learned societies and institutions who publish useful materials.

Often the membership subscription may cover the right to receive their publications either free of cost or at concessional prices.

- (v) *Deposit System*: The deposit system entitles some specially designated libraries to receive free copies of the publications brought out by governments, national and international organizations, etc. There are many university libraries and state central libraries enjoying these benefits. There are also the national and state legal libraries designated to receive free copies of all publications originated in India, either under the provisions of the Copyright Act or the Delivery of Books and Newspapers (Public Libraries) Act, 1956. In all these cases the recipient library should be continuously on the alert about the new titles and their timely receipt.

### Terms and Conditions of Supply

The choice of the supplier is mainly governed by considerations of the maximum advantage to the library. Three major items are there in the terms of supply, namely,

- Trade discounts
- Conversion rates of currencies, and
- Other conditions of supply

## Notes

These are examined below:

- **Trade Discounts:** Trade discounts are a common feature in book purchases. The discounts may vary according to categories of publications. Normally a 10% discount is admissible on books. Indian language publications may have higher discount rates while law books, etc., are short discount items. Government publications carry no discount at all. The rates of discount admitted to libraries by booksellers are part of the discount they themselves get from the publisher. Where competition is acute, a bookseller may even under quote to the extent that actual supply will become practically impossible. To check this unhealthy competition, standard norms would become necessary. One such measure employed in Britain is the Net Book Agreement. This trade agreement prevents price cutting in books by prescribing a uniform commission for libraries. Almost a similar agreement is available in India.



*Notes* The Net Book Agreement is an instrument signed in 1929 (and revised in 1933) by the Library Association, the Publisher Association, and the Association of Bookseller of Great Britain and Ireland.

- **Conversion rates:** Conversion rate can cause problems in buying foreign books. As you know, exchange rates are always subject to fluctuations. Hence, current rates cannot be applied in fixing the price of books in all cases. Competitive rates will be offered by booksellers. Here again, standard norms are necessary to check the possibilities of under quoting. In India, such a standardisation can be achieved by the recommendations of a body known as the Good Offices Committee.

The Good Offices Committee is a voluntary organisation with representatives of publishers and booksellers' organisations, professional library associations, major university and special libraries and documentation centres, the University Grants Commission and representatives from the Ministry of Human Resource Development. The Committee meets at regular intervals to decide upon the conversion rates of foreign currencies to be applied in the case of books and periodicals, and the rate of discount admissible to libraries. It has among other things recommended a uniform discount of 10% on the published price of all books except the non-discount-or short-discount items. The recommendations of the Good Office Committee are being increasingly accepted by all libraries in India.

- **Other Terms and Conditions of Supply:** Regarding other terms and conditions of supply, the library must ensure that the vendor is made legally and morally bound to supply only the ordered document, in its perfect condition, and at the correct price. A model set of terms and conditions of an agreement between the library and the vendor can be found in the book, Library Manual by Ranganathan.

### 9.3.2 Types of Order

Book ordering practices cannot be the same in all cases. These are:

- Specific Orders
- Blanket Orders
- Standing Orders
- Pre-paid Orders

The large bulk of ordering is for specific items. But others may need a different treatment. Sometimes blanket orders may have to be placed to ensure that no new item published in a specialised subject area is missed by the library. Similarly, standing orders will be needed for the supply of all items belonging to a chosen publisher's series, or for receiving an unbroken set of multivolume books, or a book published in instalments, or books like annuals and year-books. There are also items needing pre-paid orders. Government publications, subscription books and books supplied on pre-publication orders fall in this category.

### 9.3.3 Ordering Procedure

In section 9.3.1 we have described the procedure until the selection is finalised and the lists and the cards are forwarded to the Procurement Section for placing orders. What follows in this section is the procedure relating to ordering the selected items. Ordering procedure relates to three stages:

- (i) **Pre-order Work:** Pre-order work includes various jobs connected with:
  - ❖ Invitation of tenders or quotations
  - ❖ Tabulating the quotations
  - ❖ Fixing the suppliers or appointing standing vendors, and
  - ❖ Signing the contracts.
- (ii) **Order Placing Work:** Order placing work consists of the following job items:
  - ❖ Tallying
  - ❖ Scrutiny and elimination
  - ❖ Sorting
  - ❖ Costing estimating
  - ❖ Listing
  - ❖ Transmitting
  - ❖ Filing

Tallying means verifying the selection has with the corresponding cards. Each selection list is then subjected to a final scrutiny. This has two purposes: firstly, to avoid unnecessary duplication and, secondly, to sort out items for different means of procurement and different types of orders. The first purpose can be achieved by checking the selection lists or their cards with the following:

- ❖ Outstanding orders, if any
- ❖ Standing orders, if any w the blanket orders, if any
- ❖ Bills on hand
- ❖ Supply received
- ❖ Catalogue

The second purpose is fulfilled by finding out such items in the selection lists as could be procured through other means like gift, institutional membership, exchange and deposits. Also items needing standing orders or blanket orders are identified at this stage. The lists are men finalised for placing orders after necessary eliminations. The cost incurred by each list is then verified and the amount noted in the Budget Allocation Register. Order


**Notes**

Lists are then pre-prepared, generally in triplicate. The order is transmitted with the signature of the librarian. The second copy of the Order List can be sent to the indentor or the department concerned for information. Such intimations should be sent to the individuals also in the case of items suggested by them. The third copy of the Order List is filed in the section.

(iii) **Supply Receiving Work:** Supply receiving work includes jobs like:

- ❖ Taking delivery
- ❖ Tallying, collecting and checking
- ❖ Cards picking and noting
- ❖ Transmitting for accessioning

Books may be supplied either by personal delivery, or by parcel service. In the latter case the vendor would have sent the way-bills. Arrangements should be made with clearing agents for taking delivery of the parcels. In either case, supplies are affected along with bills. The books supplied should, first of all, be checked with the bills. The bills and the books are then matched with the Order Lists. If discrepancies are noted either in the items supplied, or the physical condition of the books, or the prices given in the bills, they are notified to the supplier and got corrected. Extreme care must be taken to ensure that the books are in perfect condition. Possibilities of damage in transit, defects in binding, missing sections, etc., should not be over-looked. Once the supply is found acceptable after the tallying, checking and collating as explained above, the cards relating to the items supplied and accepted are picked out from the "Books-on-Order" tray and the supply date and bill number are duly entered. The books along with the bills and the cards are finally transmitted to the Accessioning Section.



*Notes* A printed order form can be used for forwarding the original of the Order List to the supplier.

**Self Assessment**

Fill in the blanks:

8. Gifts and ..... constitute an important source acquisition of reading materials in a library.
9. Some libraries are designated as ..... and receive free copies of publications brought out by Governmental and non-governmental organizations.
10. Acquisition through ..... is another mechanism by which Collection Development can take place.
11. .... books are not published simultaneously but are published over a period of time in different years.
12. .... can cause problems in buying foreign books.
13. .... means verifying the selection has with the corresponding cards.

**9.4 Accessioning**

All the books and documents received in the library are taken into its stock by a process called Accessioning which involves the assignment of a serial number called Accession Number. In the

case of books donated, they are assigned a Donation Number in addition to the Accession Number. When loose issues of periodicals are bound into a volume, they are given accession numbers. While in some organizations the accession numbers are given to documents after technical processing, in others, it is done first. Once an accession number is assigned, it is deemed to be the property of the library.

### 9.4.1 Planning

Many consider that accessioning is a mechanical process and easy to perform. On the contrary, it requires much experience and judgement. Some of the factors that make accessioning of documents difficult pertain to:

- (i) **Definition of "Volume":** Economy in the cost of binding, reduction in the number of undersized volumes difficult to handle, the need for splitting over thick and composite books that may admit of such treatment and several other considerations stand in the way of counting every volume that arrives in the library as a separate book for accessioning solely on the basis that they were stitched or cased and issued separately by the publisher. Hence, one requires a good deal of judgement in deciding what constitutes a volume for the purpose of assigning a single accession number.
- (ii) **Periodical Publications:** Periodical publications present a series of complications like different sequences of pagination and the existence of more than one title page in the same volume. In such situations, the question arises as to whether the volume should be separate as per the title pages and each part accessioned and bound separately.

### 9.4.2 Factors in Planning

The books are received into the library by four distinct streams or paths:

- (i) Documents acquired by the Book Order Section
- (ii) Documents acquired by the Periodical Section
- (iii) Documents received as Unsolicited Gifts
- (iv) Documents received on Exchange.

Therefore, the distinctive work of the Accession Section is to be planned with reference to the following factors:

- (a) Ordered books;
- (b) Accession; and
- (c) Unsolicited Gift books.

### 9.4.3 Accession Register

The basic question involved in accessioning work is the choice of the Accession Register. The Accession Register is the basic record in the library about each document forming part of its collection. The general practice in libraries is to have a single register in which all types of documents whether purchased or received as gift or on exchange or as deposit are entered. But some libraries have the practice of using separate accession registers for gifts and for deposited items still another practice is to have the accession list in card form. In this case, the card used at the stage of book selection will be converted into the accession card and filed in the accession number sequence and kept under safe custody.

Notes

### 9.4.4 Job Analysis

The work of the Accession Section in relation to the above factors consists of the following items:

- **Ordered Books**
  - ❖ Supply Scrutiny Work
  - ❖ Wrong Supply Work
  - ❖ Bill Passing Work
- **Accession**
  - ❖ Collating Work
  - ❖ Transmission Work
  - ❖ Accessioning Work
- **Unsolicited Gift Books**
  - ❖ Gift Accepting
  - ❖ Donation Card Writing
  - ❖ Donation Acknowledging

### 9.4.5 Accession Procedure

The following jobs are involved in accessioning:

- Arranging the bills and the books in a parallel sequence
- Entering details in the accession register
- Writing the accession number on each book
- Certifying the bills
- Transmitting the bills for passing work
- Transmitting the books for processing
- Noting and filing the cards.

Documents are entered in the Accession Register date-wise according to their receipt in the library. All purchased books are entered in the order of the bills. For this purpose, the bills have to be first arranged in the ascending order of their dates. Books covered by each bill then have to be arranged and kept in the order in which they are listed in the bill. Book after book and bill after bill are then entered in the Accession Register keeping the Accession Numbering running continuously. The Accession Number getting assigned to each document entered in the Accession Register will be a unique number which can identify that document. The Accession Number is then written legibly on the verso of the title page of the book and, if necessary, on a clue page. The same number is then noted in the bill against the item. After entering all the items covered by one bill a certificate must be furnished on the bill which should read as follows:

“Certified that all the books as per the bill have been duly entered in the Accession Register vide numbers from.....to.....”

The bills relating to the books accessioned are then handed over for Bill Passing Work while the books are sent to the Technical Department for processing. The cards belonging to them, after noting the date of accessioning and the Accession Numbers, are filed in a way labelled as "Books-in-Process".



*Task* List the precautions would you take in accession of books.

### 9.4.6 Passing of Bills

The various jobs involved in the Bill Passing Work are:

- Checking
- Certifying
- Passing
- Transmitting

A serious risk involved in Bill Passing Work is either double payment or over-payment. Sufficient caution should be exercised to avoid both. When verified and found correct a certificate to that effect should be furnished on each bill. This should read as:

"Certified that the net published prices at the approved rates of conversion have been charged, and agreed rates of discounts have been allowed."

Each certified bill together with the Accession Register should be placed with the librarian for the final passing. He should satisfy himself after checking the bill and the corresponding entries in the Accession Register. He then should put his initials on the Accession Register and pass the bill for payment.

This is done by writing at the bottom of the bill the words "Passed for Payment" and putting his signature and office seal below. The passed bills are then transmitted to the Account Section for effecting the payment.



*Caution* Every bill should be carefully scrutinized by checking the calculations and totals, the conversion rates, and the trade discounts provided.

### Self Assessment

Fill in the blanks:

14. When loose issues of periodicals are bound into a volume, they are given .....
15. All the books and documents received in the library are taken into its stock by a process called .....
16. The ..... is the basic record in the library about each document forming part of its collection.
17. All the ..... books are entered in the order of the bills.
18. A serious risk involved in ..... is either double payment or over-payment.

Notes



Case Study

## Issues of Book Acquisition in University Library: Pakistan

**A**cquiring information resources is a core activity of libraries. University libraries all over the world still acquire and maintain massive book collections while managing other formats. Despite prophecies of vanishing print collections and emergence of the digital paradigm, printed books still have a central role in library collections and publishing industry (Kanwal 2005; Carr 2007).

Until 2005, collections in Pakistan's University Libraries (UL) mainly consisted of books (foreign), when the Higher Education Commission (HEC) of Pakistan provided access to thousands of digital databases (Government of Pakistan and Higher Education Commission). A doctoral study found that in Pakistan, university libraries annual collection funds are mostly spent on new books and serial publications (Ameen 2005a). These funds have increased each year under the present regime; however, the book market has never been capable of efficiently supplying the imported current and research material for libraries. This researcher's experience as university librarian, as faculty member, and a review of literature establishes that university libraries face serious problems in the acquisition of books and journals. Despite the gradual adoption of information and communication technologies, libraries still find it hard to acquire current books through vendors or direct purchase, which makes it difficult to meet clients' needs quickly, efficiently, and economically.

There is a need to explore the basic issues in the acquisition of books through purchase in the emerging paradigm. The study explores these issues with reference to major university libraries in Pakistan.

### **Issues in Book Purchase**

#### *Type of Collection*

The collections in the libraries who responded to the survey consist largely of print and are mostly American or British books and journals acquired from the local market. The timely acquisition of current publications has had been a serious problem. University libraries must depend on imported foreign publications to build collections. The data from this study demonstrates that the situation for collections and acquisitions is still nearly the same as reported by Haider.

#### *Buying Market*

Libraries were asked about the approximate average of acquisitions from local vendors and direct from foreign publishers/vendors. The responses of 27 libraries in Figure 1 show that still there is no significant change in the acquisition pattern, since 18 (67%) libraries still buy 100% of books from the local market and do not use online sources.

Contd...



Notes

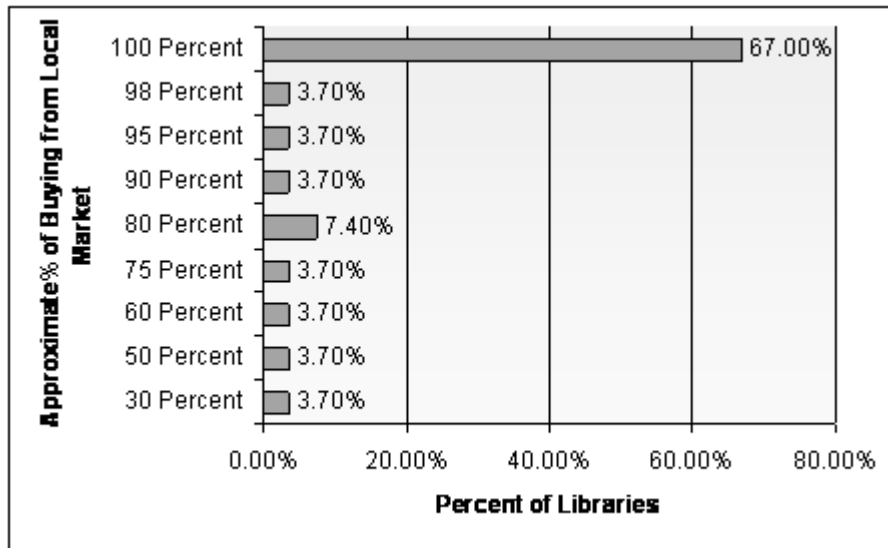


Figure 1: Approximate Percentage of Books Bought Locally

Three libraries provided no answer; however, it appeared from their responses to other questions that they purchase material, by and large, from the local market. Six libraries purchase from 80% to 98% and four libraries from 30% to 75% material from the local market. The answers to the question of approximate percentage of purchase from foreign market reveal (Figure 2) that only 9 of 30 libraries replied affirmatively. Only one library among them was buying 70% material directly from the foreign market, while 8 libraries were buying from 5% to 50% of the materials.

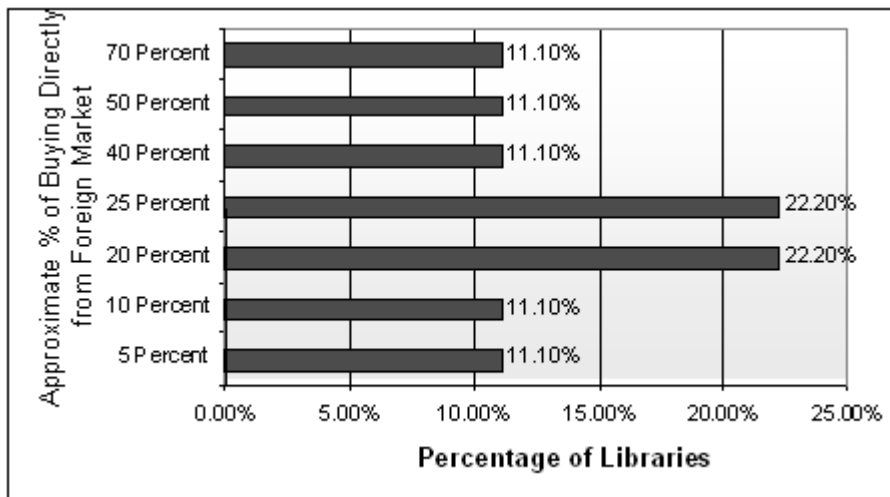


Figure 2: Approximate Percentage of Buying from Foreign Market

A large majority of libraries continue to depend on local vendors to build their book collections. A few reasons for this phenomenon are reported in the qualitative analysis of the study, based on extracts from the interview transcripts. Four chief librarians pointed out the scarcity of material in the local market to meet student’s needs.

Contd...

**Notes**

The following comments are illustrative:

- LUMS special focus is on collecting local grey literature, reports, statistical data and government reports. We have no problem in acquiring foreign literature, but the procurement of local quality literature presents all sorts of problems. Then the government departments and ministries do not provide free access to micro-data. We have money to spend on purchase of government publications but it is difficult to locate this kind of material and to get access to unpublished reports. This kind of literature is direly needed for our readers. At last, after a meeting with Director General, Federal Bureau of Statistics we have succeeded in receiving 50% of micro data which comes through the Bureau.
- The book market is not evenly organized in all major cities of Pakistan. The cities of Lahore and Karachi cater to the book supply needs of the country. Haider (1993) shows serious concern about this situation, saying:

“At present, more than 85% of the English language book trade in Pakistan is dominated by about a dozen publishers-cum-booksellers located in Karachi and Lahore. These importers prefer to import those titles that give them the maximum profit. With no import of their own, libraries are totally dependent on them for their purchases. At present libraries are building their collections on the simple principle of what is available in the market rather than what is needed. This is a point of concern for all. In essence this handful of book importers dictates the readership habits of the people of the nation.”

The results of this study establish that the situation has not changed much despite the emergence of electronic means of communication. For example, the chief librarian of Peshawar University mentioned in his interview that “finding latest, quality books in the city is very difficult and they have to contact vendors in Lahore or Karachi.” Nonetheless, in the universities in larger cities, where librarians use the Internet for selection and acquisition, the quality of collections is improving.

**Questions**

1. Analyse the case study and identify the problems in acquisition of the library material in the university library.
2. Suggest an appropriate solution to the problem cited in the above case study.

Source: <http://www.webpages.uidaho.edu/~mbolin/ameen.htm>

**9.5 Summary**

- Collection building is of fundamental importance to a library.
- A good collection does not just happen; it has to be meticulously planned and systematically developed.
- Therefore, collection development is one of the basic responsibilities of a librarian. He needs both professional training and practical experience to fulfil this responsibility. It is an area where sound theory must be transformed into systematic practice.
- You have made a broad approach to this area of collection development, highlighting some of the basic procedures and routines. This work is based on the aims and objectives of the library and policies laid down for selection and acquisition.
- It is been examined that acquisition work has three major blocks, viz., Selection, Procurement and Accessioning.

- A number of problems arise in the process of Selection and Procurement in Indian libraries, which are spelled out in detail.
- The functions, operations, methods and routines, processes and various practices, including records, registers and files, are discussed with reference to the three major areas of acquisition work.
- The work of acquisition, barring the work of scanning and selection, can be computerised.

## 9.6 Keywords

**Accession Register:** The Accession Register is the basic record in the library about each document forming part of its collection.

**Accessioning:** All the books and documents received in the library are taken into its stock by a process called Accessioning.

**Blanket Orders:** It is an order for all titles produced by a specific publisher. It has minimal specification and restrictions.

**Document:** A generic name for all types of reading materials acquired in a library and includes graphic, printed and processed items.

**Standing Orders:** Standing orders are customer orders that are to be executed at regular intervals, on a certain date, for a certain amount, and for a certain recipient.

**Standing Vendors:** Standing vendors are appointed for the supply of books and other reading materials to the library.

**Tallying:** Tallying means verifying the selection has with the corresponding cards.

## 9.7 Review Questions

1. State the six factors that govern the acquisition for documents in a library.
2. Enumerate the favours that govern the planning of the routine jobs of document selection work.
3. List the major categories of sources of book selection, both for current and retrospective books.
4. State the various routines of document selection procedure.
5. State the information to be supplied to the indenter with regard to the book recommended.
6. State the routine steps of accessioning documents in a library.

### **Answers: Self Assessment**

- |                    |                     |
|--------------------|---------------------|
| 1. False           | 2. True             |
| 3. True            | 4. False            |
| 5. False           | 6. True             |
| 7. False           | 8. donations        |
| 9. Deposit Centres | 10. exchange        |
| 11. Subscription   | 12. Conversion Rate |

Notes

- |                  |                        |
|------------------|------------------------|
| 13. Tallying     | 14. accession numbers. |
| 15. Accessioning | 16. Accession Register |
| 17. purchased    | 18. Bill Passing       |

**9.8 Further Readings**



Books

C.K. Sharma, Kiran Singh. 01-Jan-2005. *Library Management (Vol 1)*, Atlantic Publishers & Distributors.

D. K. Pandey. Jan, 2004. *Library and Information Science*. Atlantic Publishers & Distributors.

Richard E. Rubin. Third Edition. *Foundations of Library and Information Science*. Neal-Schuman Publishers New York London.



Online links

<http://www.slideshare.net/Nilaranjan/new-trends-of-collection-development-by-libraries-in-it-era-12697976>

<http://cbse.gov.in/LIBRARY-1-99.pdf>

<http://www.pulibrary.edu.pk/library/secUnits.htm>

[http://www.unesco.org/webworld/nominations/guidelines1\\_h.htm](http://www.unesco.org/webworld/nominations/guidelines1_h.htm)

## Unit 10: Circulation Section

Notes

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### Objectives

After studying this unit, you will be able to:

- Discuss the factors with reference to which circulation work can be planned
- Explain design a circulation system suitable for a library
- Describe policy guidelines with reference to all aspects of circulation work
- Explain how to Organize and manage the various functions of circulation work.

## **Introduction**

The primary responsibility of libraries to circulate books, i.e., permits readers to borrow them for home reading. Circulation involves keeping records of books that are borrowed, to whom they have been lent, for how long, etc., in addition to a system of issue and return of books at the circulation counter. There are also provisions in a circulation system to get a book renewed or to reserve a book for obtaining it on loan.

Library circulation or library lending comprises the activities around the lending of library books and other material to users of a lending library. A circulation or lending department is one of the key departments of a library.

Policy decisions are also determined to define the borrowing privileges of different categories of members, i.e., what types of documents (textbooks, monographs, loose issues of journals can be borrowed by registered borrowers (students, faculty, researchers, management in University libraries) and the length of time for which the user may keep the borrowed material.

There are two popular and widely practised systems of issue and return of documents in libraries, known as Browne and Newark Charging Systems. These systems have evolved and developed over a period of time. After giving a quick historical background of charging systems, we will give you a detailed description of these two charging systems with their relative advantages and disadvantages.

All this work is usually handled by a separate division of the library. This unit will give you a description of the planning and management of the circulation divisions of a library. Certain miscellaneous jobs like maintaining controlling and gate register and property counter fall under the supervision of this division.

### **10.1 Circulation Work**

Circulation work is the primary task of most modern service libraries. A collection of documents, thoughtfully and painstakingly built up as a library, is meant to be used and hence should not be allowed to idle on the shelves. In effect, every reader should find a book in the library useful to him/her and every book should have a user. Libraries, therefore, have introduced a service, by which books can be borrowed by users for reading at their own convenient time at their homes or at any place outside the library, or even within the library in research cubicles or in the general reading room. Such a situation however arises in university libraries or in libraries attached to archives or museums. There are certain categories of publications which, for security or other consideration, are not allowed to be taken out of the library. In other words, books are allowed to circulate among readers.



*Notes* All jobs related to a method of borrowing books and returning them after use, creation and maintenance of relevant records and files, and so on are referred to, as circulation work.

#### **10.1.1 Goals of Circulation Work**

Circulation aims to maximise the availability of all library material to users and thereby optimise their use. The major concern of any circulation service is to perform this task with economy and efficiency. This means, adopting effective charging and discharging systems, and procedures of lending for all types of users with reference to the different types of documents. It also implies

the formulation of policies that will serve to make library material optimally available to users while ensuring effective control of their movements. Archiving these goals through the circulation division of a library is a management objective.

### 10.1.2 Scope of Circulation Work

Circulation work includes:

- Registration of members,
- Lending, i.e., charging and discharging,
- Renewals, i.e., persons who seek extension of time for borrowed books,
- Recall, i.e., requesting a borrower to return a book,
- Holds, i.e., books that are reserved for a member that are already on issue,
- Notification, i.e., communicating with members on all the above, as needs arise.

The other activities of the circulation division may include additional lending services such as interlibrary loan and reserve book collections. As circulation counters are usually located close to the entrance/exit gates of libraries, the circulation division of a library may also control the gate register and the property counter.

The exact range of circulation work, however, varies from library to library.

### Self Assessment

Fill in the blanks:

1. .... aims to maximise the availability of all library material to users and thereby optimise their use.
2. Circulation counters are usually located close to the ..... of the library.



*Caselet*

#### Circulation System of IBA Libraries

**A**dmission, circulation, general enquiries, reference, and computer support are coordinated from the Service Desk on the ground floor of the Library. Service transactions (including the issue and return of borrowed material) cease 30 minutes before the posted library closing time on any given day.

#### Functions of Circulation System

The primary responsibility of the Circulation Department is to ensure easy and equitable access to the Library's print collections and course reserves. The Department's functions include:

- Overseeing the borrowing of library materials and borrower records.
- Administering access to course reserves.
- Assisting borrowers with locating books and other items in the Library.

*Contd...*

**Notes**

- Providing assistance to users in locating and using periodicals, audio-visuals, and AV equipment.

- Maintaining the order of the Library's print collections.

Answering questions about policies such as loans, renewals, recalls, fines, and other policies.

**Circulation Policies**

**Students, Faculty, and Staff**

**Books / Other Materials**

The circulation period for books varies depending on whether the borrower is a student, faculty member, staff member, IBA alumni or not affiliated with IBA. Journals do not circulate.

**Fines**

The fine for overdue material is ₹ 5/= per day with increased fines for all special materials.

**Renewals**

Students, faculty, and staff can renew books in person at the circulation desk. You cannot renew books if:

- You have an overdue book.
- You have unpaid Library fines.
- The book has reached its renewal limit.

Another student, faculty or researcher has requested the book.

**Recalls**

If a book has been charged out for more than 28 days, a recall can be placed on the book. The borrower will be notified that another borrower has requested it and that the book must be returned within one week to avoid a fine. The current fine for recalled materials is ₹ 1.00 per day. The person requesting the book will be notified when it is returned.

**IBA Alumni**

IBA Alumni can apply for borrowing privileges by stopping at the circulation desk and filling out a library registration form. Once the form is completed, alumni status will be verified and the information will be put into the Library's borrower record. The verification process may take up to 24 hours during the business week. Alumni privileges apply for one year.

**Reference Services**

All staff at the Service Desk can assist with general enquiries, including information about the library setup and use of the library catalogue. The Reference Librarian who is normally available for walk-in/phone/e-mail consultation between 8:00 a.m. and 4:30 p.m. Monday - Saturday, provides subject specific reference assistance and extended instruction in library systems and catalogues. Suggestions for new books, periodicals or electronic acquisitions can also be directed to the subject specialist staff.

*Source:* <http://library.iba.edu.pk/circulation.htm>



## 10.2 Functions of the Circulation

### Notes

The primary responsibility of the Circulation Department is to ensure easy and equitable access to the Library's print collections and course reserves.

The circulation services unit of a library fills two important roles:

The first and perhaps most obvious role is that of circulation control. This is defined in a classic text as "that activity of the library, which, through personal contact and a system of records, supplies the reader with the books wanted." Throughout history, people have had limited access to books and other forms of information. The primary reason for the existence of the library is its specialized service, which makes available to users a wider variety of information and ideas than they could otherwise obtain. This service is the foundation upon which the whole structure of the modern library rests. The use of modern reference tools, instruction and guidance in the use of the library, and readers' advisory are unimportant if customers cannot obtain the information they want. Circulation routines are established, records maintained, and personnel employed and trained to make information efficiently available to borrowers or to explain why requested items cannot be immediately supplied.

A second and equally important role of circulation services is that of public relations. Often the first contact people make with a library is at the circulation desk, the centre of library activity for most customers. Public opinion of the value and usefulness of a library results from many personal contacts between individual users and the library staff. In many cases, circulation practices determine whether users continue to use the library or whether they become discouraged at failures to obtain desired information promptly. Whole library systems may be judged by the work of a single circulation assistant.

The library must properly train circulation staff to prepare them to give effective and efficient service. In this way they may be expected to treat each user as an individual whose request is important and who is entitled to the full measure of services consistent with library policy.

Special libraries usually do not have a staff person devoted to circulation. Often check-out of library materials are done on a self-serve basis with instructions on how to fill out cards placed in plain sight. After use, materials may be deposited in the library, mailroom, or in-box of library staff. Checking in and reshelving materials may fall to the librarian, library clerk, or other office support staff.

The Department's functions include:

- Lending materials to library users.
- Checking in materials returned.
- Monitoring materials for damage and routing them to the appropriate staff for repair or replacement.
- Troubleshooting circulation technology, i.e. library circulation software, scanners, printers, etc.
- Collecting statistics on library use, i.e. patron transactions, material checkouts, etc.
- Creation of borrowers pockets, i.e. when using the Brown issuing system.
- Charging and receipting overdue fines.
- Overseeing the borrowing of library materials and borrower records.
- Administering access to course reserves.
- Assisting borrowers with locating books and other items in the Library.

**Notes**

- Providing assistance to users in locating and using periodicals, audio-visuals, and AV equipment.
- Maintaining the order of the Library's print collections.

The three major functions are discussed in detail:

### **10.2.1 User Registration**

An obvious first step in any circulation system is to register the users or borrowers. This is a time consuming and somewhat expensive procedure but mandatory for several reasons. This procedure establishes the potential borrower as a legitimate member of the library. Registration identifies the borrower as a member of the community in the case of public libraries or as an enrolled student or faculty staff member in a typical academic environment. This identification is necessary for the accomplishment of the controlling processes like holds, recalls, fines, etc. Apart from this, it also serves as a useful point for informing the clientele of the library policy and procedures. It is one of the initial contact points with the user community. Another important purpose of registration, particularly in the case of public libraries, is that it provides an accurate statistical description of the user population.

*Registration Procedure:* The registration procedure is fairly well standardised. The borrower to be is given an application form to fill. The application form may preferably be in a card form, so that the same is alphabetically filed to serve as an alphabetical registration record. The information usually requested is the name, address, telephone number, occupation, business address and telephone number. If it is a public library, the occupation, name, address and telephone number of a referee or a guarantor is sought. The signature of the applicant and the guarantor is also insisted upon.

College and university libraries grant borrowing privileges to all faculty, staff and registered students. The method of student identification differs among institutions. The student may be asked to show his/her identification card issued at the time of entry into the current academic session. Another alternative is to require the borrower to show his/her admission receipt. The third alternative requires the student to get the head of his institution or Department to countersign his application and in case of faculty or administrative staff, a copy of the appointment letter. It is important to establish the bonafides of the student or faculty. Registration enables the user to make use of the privileges of the library. The form of registration is directly influenced by the type of circulation system. The borrowing privileges of members are also indicated in the borrowers' register. Borrowing privileges refer to the types of documents that can be borrowed, the length of retention, recall right of the library, etc.



*Caution* The staff members should be imbued with the service ideal of the library and taught the philosophy behind the routine they perform in the library.

### **10.2.2 Charging and Discharging Functions**

Circulation is an activity whereby library materials are lent to borrowers and records of such loan transactions are kept in an orderly way. We have noted that this is an important basic activity of a service-library. It is this service that brings users into direct contact with the operating system of the library. Librarians have, therefore, spared no efforts in designing and developing efficient and economical charging systems to give borrowers excellent service. Not only it is necessary to provide efficient service to borrowers, but it is also crucial to maintain a reliable record of loan transactions to know where a book is at any given point of time. This is essential

in all types of libraries but more so in academic libraries where certain titles are in constant demand.

An ideal charging system should therefore have the following capabilities:

- To identify the books that are charged, i.e., be able to ascertain whether a book is in the library or out;
- To identify the borrower of a particular book;
- To identify when a book is due back in the library;
- Measure the extent of use of books, i.e., provide a permanent record of the number of times a certain book has been circulated;
- Indicate the extent to which a reader is making use of the library's borrowing facility, i.e., indicate the number and type of book a user has borrowed, etc.; and
- Indicate the number of books circulated per day and also other subject wise circulation statistics.

There are three categories of records on which circulation control is based. These include:

- Items of documents that are on loan;
- Borrower's list with all details including books borrowed;
- Time record linking the above two records.

The quality of operational competence is evaluated with reference to:

- Speed, i.e., the issuing and returning of books should be earned out with speed without sacrificing efficiency;
- Economy, i.e., the system should economise on staff, time, money, materials, plant and stationery;
- It's being fool-proof, i.e., versatile in terms of identifying the whereabouts of a book;
- The smooth flow of traffic, i.e., no congestion at the counter at any time,
- A minimum backlog, i.e., all the filing should be done on the same day; and
- A minimum need for preparatory work.

A minimal circulation model is a set of procedures of record keeping with respect to only their category, i.e., records of the materials held by a borrower. A total or complete system is one that provides for all three categories of records. The earliest system, the 'day book' met the minimal circulation requirements of recording the transactions. The 'ledger' system was an improvement in that was a more orderly control of charges as opposed to the former. However this also did not provide for identifying the books borrowed: It was the 'dummy' system which provided for complete inventory control. Most of the later systems like Browne, Newark have incorporated features which meet most of the requirements directly but the rest only indirectly. It is only the computer based system that can meet all requirements.

### 10.2.3 Controlling Processes

The controlling processes further regulate the circulation of library materials. These functions include:

- Renewals
- Holds or reserves

**Notes**

- Recalls
- Fines or overdue charges
- Notifications.

**Renewals:** Renewals represent an extension of the loan period by recharging the same item to the same borrower. Some books are required by readers for a longer period for various reasons. Books may be renewed if there is no demand for the same book, as indicated by the reserves record. Books may be renewed by presenting the book in person or by telephone depending on the library policy. However renewal is allowed on condition that the book will be returned immediately if recalled.

**Reserves:** The reserve procedure is also known as hold procedure. In this library materials already on loan are identified and held or reserved upon request for other patrons. A record is then made at the circulation desk that serves to identify the user making the request and the book in question. The next step occurs upon the return of the book. When the book in question is returned; the charge record indicates that the book is now 'on hold' for another user. Such 'On hold' books are separated and a notification to the requesting patron is sent to the user who made the request.

In academic libraries, textbooks and other related materials are in great demand by the students. Due to paucity of funds or non-availability of the item, college and university libraries are not in a position to acquire multiple copies to satisfy the demand for the same books by several students. With fixed book funds, a balance has to be struck between multiple copies and ensuring equitable access to certain titles for all users for home use. Information regarding 'holds' for specific titles can also be used as an effective selection tool for 'multiple copies'.

**Recalls:** Another important controlling activity concerns circulation is recalls. As already mentioned libraries often allow patrons to renew books on the condition that the item will be promptly returned if another patron later needs it. The activity of calling books back into the library so that they can be lent to the other person is known as recall. Thus, a request for a hold or reserve initiates a recall of a book on first loan or already renewed.

**Reminders:** Sending regular reminders for overdue books is one of the most important jobs of counter staff. Readers may not return books in time either for selfish reasons or due to forgetfulness. The library's inability to locate the book promptly and ensure availability may also prompt the readers to retain the books with them for a long time. To avoid such monopoly of books by a few persons and to give every reader a fair chance to use these books, reminders should be sent at regular intervals. A record of the overdue books, the concerned readers' name and address must be made regularly. Printed reminder forms may also be used. In college and university libraries help of faculty is also sought in making reminders more effective.

**Fines / Overdue Charges:** It is a general practice in libraries to collect overdue charges/fines for books returned after the due date. The policy of fines/overdues is primarily a measure of control for the proper use of books. The policy of overdues is mainly to dissuade the practice of cornering certain books in demand. This also results helps to enforce discipline. The fines activity is also closely related to the: charge and discharge activities. The amount of fine and the ways of cumulating fines varies and depends on the library's policy. The two most common are straight line (accumulation of a fixed amount per day), and sliding scale (accumulation of decreasing or increasing daily amounts. Fines are normally cumulative up to a certain amount per book and then stay at that maximum amount.

The procedure of collecting overdue charges is either by issuing regular receipts or by keeping a conscience box for this purpose. The procedure depends on the library policy. Considering the cost and time involved in issuing receipts some libraries prefer the conscience box method. A conscience box is a method by which the defaulter puts the amount of overdue charge in a

locked box with a slit on top. The total collection for the day is taken out and entered in the cash book of the library.

Notes

All these control activities of recall, fines, etc., can be more complicated if multiple copies, multiple branches, multiple patrons, varied loan periods for different patron types, media types are involved. All these activities are dependent upon the library's ability to send notices to users. The proper functioning of the notification process largely depends on accurately maintained user registration files, clearly defined policies of loan periods and fines and finally the response of the user to the notice itself.



*Did u know?* An alternative to fine system for late return of books is Conscience Box. This concept was designed and developed by Dr S R Ranganathan (1959).

## Self Assessment

Fill in the blanks:

3. .... enables the user to make use of the privileges of the library.
4. The reserves procedure is also known as ..... procedure.
5. .... represents an extension of the loan period by charging the same item to the same borrower.
6. There are two most common types of fines, they are straight line and .....
7. A ..... is a method by which the defaulters puts the amount of overdue charge in a locked box with a slit on top.

## 10.3 Types of Circulation Section

This section will explain the types of circulation sections in a library:

### 10.3.1 Property Care Counter

Library resources such as books, journals, and electronic materials, etc. are costly and are often rare. They are for the benefit of not only the present but also for the future members of the library. Therefore,

- One should not write upon, damage, turn down the leaves or mark on any library materials.
- Tracing or copying of any is prohibited by copyright policy and users shall be solely responsible for any violations.
- Before leaving the issue counter, member should satisfy himself or herself as to whether the library material lent to them is in sound condition. If not, they should immediately bring the matter to the knowledge of the library staff at the issue counter, otherwise, they are liable to be held responsible for replacing the material or paying such compensation as calculated by the library.

### 10.3.2 Reference Desk

The reference desk or information desk of a library is a public service counter where professional librarians provide library users with direction to library materials, advice on library collections and services, and expertise on multiple kinds of information from multiple sources. Librarians

**Notes**

are experts in the contents and arrangement of their collections, as well as how information is organized outside the library. Library users are encouraged not to be shy about asking a reference librarian for help. Even though most librarians stay busy when not serving a patron; their primary duty when they are at the desk is to assist library users. Resources that are often kept at a library reference desk may include:

- A small collection of reference books (called ready reference) that are most often used, so that the librarians can reach them quickly, especially when they are on the phone, and so that the books will be returned in time for someone else to use later the same day. The library's full reference collection is usually nearby as well.
- Newspaper clipping files and other rare or restricted items that must be returned to the reference desk.
- Index cards with the answers to frequently asked questions, and/or drawers with folders of pamphlets and photocopies of pages that, from previous experience, were difficult to find. These enable librarians to find such information quickly without leaving the desk—even faster than they could look it up in a reference book or using the Internet.
- Books and other items that are being held for library users who asked the librarian by phone to set them aside for them to pick up later the same day, or within the next few days.
- Books from the circulating collection that have been set aside for students working on a special assignment, and are temporarily designated to be used only within the library until the project is due.
- Printed lists of items in the library that are not in the catalogue, such as newspapers, school yearbooks, old telephone directories, college course catalogues, and local history sources.



*Did u know?* Print reference works provide you with factual information on specialized subjects. A reference book is usually consulted briefly to determine specific information. For this reason, reference books do not circulate and must be used within the library building.

**Self Assessment**

Fill in the blanks:

8. Newspaper, clipping files and other rare or restricted items must be returned to the .....
9. .... counter looks after the library resources such as journals, books and electronic material.

**10.4 Circulation Section Working**

One of the most important aspects of any library service to its users is the circulation process. Planning is essential in this area to insure quick, efficient, and convenient procedures. Since the contact made at the circulation desk is the only one for many readers, the circulation process becomes an important public relation factor for the library. The library management must be concerned with the development of an efficient circulation system.

### 10.4.1 Factors in Planning

In planning the circulation process, there are many factors that the management must consider. They are:

**Multiplicity of materials:** It is necessary to provide for a multiplicity of materials like conventional books, periodicals, media; etc., as well as the special equipment needed to utilise these materials. The process must be planned to handle the size of the collection, daily volume expected and types of material circulating. The larger the collection and volume of circulation, the larger and more involved the circulation process.

**Multiplicity of users:** A public library, for example, caters to a more heterogeneous group of users, while a special library would have a more homogeneous group with an identifiable nature of interests. As it is possible to have more control and access to patrons in a special library, the circulation process can be much simpler.

**Degree of service:** It is an additional factor that needs careful consideration while planning. Are all materials to be circulated? Should specialised materials like cassettes, films be circulated? If so, is the equipment to be made available to the patron for home use? Limited circulation of some items is necessary for a variety of reasons. The length of time for which materials may be charged out or to whom is another matter to be considered. In academic libraries, for example, specialised materials like non-print materials and reference materials are loaned to faculty only. Books under categories such as manuscripts, personal papers of eminent scholars, standard reference books are normally not loaned even to faculty. Usually a varying loan period relevant to the format of material and the type of patron is followed in many libraries. Certain materials may be available only to faculty for overnight borrowing only.

The old problem of overdue and fines is another area which needs to be clearly spelt out. Professional literature is full of pros and cons relating to this problem. To fine or not to fine for overdoes is a controversial issue. Other considerations include whether materials may be renewed and if so, whether renewals may be made by telephones; whether books on loan may be reserved etc. All these questions need to be carefully considered before arriving at a decision. The goals and specific objectives of the library must be considered as the basis for any decisions reached.

The choice of charging system is a very important factor that needs to be considered while planning a circulation process.

The provision of personnel is another factor that management must consider. The circulation process can be operated quite adequately by semi-professionals, clerical personnel and others. Professional involvement is generally restricted to determination of basic policies and procedures and general supervision. Once the basic process including policies has been established a semi-professional or clerk can handle the day-to-day supervision.



*Notes* Circulation regulations usually describe the parameter which applies to circulation. Many libraries have limits on the number of items (two, three, etc.) and the length of time (two weeks, three weeks, etc.) the material may be kept.

### 10.4.2 Circulation Management

Circulation is a necessary on going activity. As the environment of the library changes, the circulation operations must also adapt. The choice of an appropriate charging system must be periodically reviewed in view of the available technology. As long as the environment continues to change, librarians will need to do a periodic review of the system.

**Notes**

Many modern management techniques like cost benefit analysis, system study are made use of in evaluating circulation systems. These methods identify the relative costs of systems and attempt to balance these costs against the relative advantages of each choice. Capital equipment, labour and material are weighed against such benefits as patron satisfaction, operational efficiency and economy, and statistical information.

**10.4.3 Records and Statistics**

The maintenance of records in the circulation department is very important because these records form the basis of collecting statistics on documents taken on loan, the types of users and what they have been borrowing, how often a particular title has been borrowed, defaulters, etc. These statistics are invaluable in providing useful indicators to the library to play its acquisition policy, nature of services, the range and type of users, etc. Such analysis goes into the annual reports of the library. Various registers like patron register interlibrary loan register, overdues and fine register, suggestions register, gate register are maintained by the circulation department.

**10.4.4 Miscellaneous Jobs**

As the circulation counter is usually located close to the entrance/exit gate, the circulation department is entrusted with the task of maintaining of the gate register and the property counter.

*Gate register:* A record of the daily visitors and their purpose of visit to the library are maintained in the form of a gate register. Each visitor to the library is asked to enter the details of personal information in the specified columns of the gate register which is kept at the entrance of the library. This is a useful record to know the visitors. Analysis of the gate register may throw light on the patrons of the library. However it has limited value in university and college libraries where the users are a defined group who remain the same daily and visits the library many a times in a day.

*Property counter:* As users are not allowed to bring books other materials and other belongings inside the library a 'property counter' is usually installed near the entrance. In small and special libraries the property counter staff can also do the vigilance job which is necessary to eliminate the unsocial habit of some members walking away with books of the library.

**Self Assessment**

Fill in the blanks:

10. In the academic libraries, the specialised materials like non-print materials and reference materials are loaned to ..... only.
11. A record of daily visitors and their purpose of visit is maintained in the form of .....
12. Analysis of the gate register may throw light on the ..... of the library.

**10.5 Charging System**

As discussed earlier in this unit, there are two charging systems that are widely used in Indian libraries. These systems are: the Browne Charging System and the Newark Charging System. These systems are discussed in detail with reference to the following aspects:

- Equipment and materials used



- Charging routine
- Discharging routine
- Reserves

### 10.5.1 Browne Charging System

The Browne Charging System was devised by Nina E. Browne who was librarian of the Library Bureau in Boston and served as the secretary of the Publishing Board of the American Library Association.

Even though the system originated in the United States, it is not much in use in the country of its origin. But it has become quite popular in India.

1. **Equipment and materials used:** The special equipment and stationary materials required to operate the system are the following:
  - ❖ Registration cards of all borrowers arranged alphabetically.
  - ❖ Borrower's tickets or pockets. Each borrower is given as many tickets/pockets of manila or rough paper as he/she is entitled. This ticket is in the shape of a pocket of 3" × 2" size with openings on two sides. This ticket bears the names and address of the borrower, the date of expiry of membership. In many libraries a code number is devised and written/typed on the top of the card to represent category/subject of interest and date of validity of the membership. It also bears the signature and stamp of the librarian and the signature of the borrower on it.
  - ❖ Book cards of size 4" × 2" bearing the call number; accession number, author and title of the book.
  - ❖ Book pockets of size 5" × 3" which are pasted on the inside back/front cover of the book. The book cards are kept in these pockets when they are not in circulation.
  - ❖ Date slip on which the date due or date of issue are stamped, to be pasted on the back or front flyleaf of the book.
  - ❖ Date stamp and ink pad
  - ❖ Date guide cards
  - ❖ Charging trays
  - ❖ Circulation statistical sheets
  - ❖ Reminder cards, reservation cards, overdue fine slips, etc.
2. **Charging Routine:** Charging is the issue of books that are presented at the circulation counter to borrowers. This routine involves the following steps:
  - ❖ The book to be borrowed and the borrower's ticket are presented by the user to the assistant at the circulation desk counter.
  - ❖ The counter assistant after the identification of the reader either by familiarity or through the identification card/membership card, takes the book card out of the book pocket or slips it into the borrower's ticket/pocket.
  - ❖ The due date is stamped on the due date slip pasted on the back or from the flyleaf of the book and the charged book is handed over to the patron. The book card coupled with the reader's pocket is filed in the charging tray behind the respective due date card by call number.

**Notes**

- ❖ The call number and the borrower number are recorded in the daily circulation statistics sheet.
3. **Discharging Routine:** Discharging is the work of securing books borrowed and releasing the borrower's tickets. This routine will involve the following:
- ❖ When the book is presented at the counter for return, the due date/issue date is ascertained from the due date slip.
  - ❖ The book card coupled with the reader's ticket is picked up from behind the Circulation Work appropriate date guide card from the charging tray.
  - ❖ The due date/issue date is cancelled on the due date slip and the reader's ticket is returned to the reader.
  - ❖ The book card inserted into the book pocket and the book is thus discharged and the reader is absolved of his responsibility.
  - ❖ If the book is returned after the due date, due overdue amount is computed and an overdue charge slip is given. The reader's ticket is returned only after the receipt for the overdue charge is presented.
4. **Reserves:** 'Reserves' constitute a facility of a circulation system by which a reader can reserve a book that is out on loan. This facility is built into a charging system. The routine involved is explained below:

If there is a request for reservation of a book in circulation, the reserve ticket is filled up by the reader and the reserve ticket containing the details of the book and the reader is inserted into the reader's pocket in the charging tray. When that book 'on hold' is returned the reserve card along with the book card will be slipped into the book pocket and the book will be kept in a special sequence and intimation will be sent to the reader who has reserved the book.

**Advantages**

- The context makes itself explanatory.
- Being simple the procedure results in economy of time and efforts. It is estimated that at least 300 books can be issued per hour.
- The issue of reminders and calculation of fines/overdues is simplified.
- The statistics of issue can be prepared easily.
- Reserves and recalls can be carried out promptly.
- No signatures are required at the time of issue or return.

**Disadvantages**

- No permanent record of issue is available.
- It is difficult to ascertain the number of books issued to a person as the borrower's tickets are scattered.
- In case of loss of tickets, misuse is possible as the signature of the reader is not necessary.
- Caution and vigilance are necessary while inserting book cards into the readers' pockets as there is only one record of issue. Otherwise book cards and readers pockets may be mismatched.

However in spite of these limitations this system is very popular in Commonwealth countries including India because of the simplicity of the procedure. This system saves the time of the staff and reader to a great extent. To overcome some of its limitations many modifications are incorporated into the system in many libraries in India.

Notes



*Notes* In Browne system, the members are given Reader's Ticket(s) to enable them to borrow books from the library. The design of the reader ticket is such that it has a pouch on its front side.

### 10.5.2 Newark Charging System

We have already given a brief historical sketch of the origin and development of the Newark Charging System earlier in this unit.

1. **Equipment and materials used:** As this system is a little more elaborate than the Browne Charging System, it requires more equipment and materials. They are as follows:
  - ❖ Registration files of all borrowers. These are composed in an alphabetical file of the application blanks of registered borrowers and also a numerical file of numbers assigned to each borrower usually tipped on sheets in a loose-leaf notebook or in the form of a register.
  - ❖ Borrower's cards bearing the name, address and registration number of each registered borrower with space for recording transactions.
  - ❖ Borrower's cards bearing the call number, author and short title of the book.
  - ❖ Date slips which are pasted on the back or front flyleaf of the book.
  - ❖ Book pockets giving the call number, author and short title of the book.
  - ❖ Pencil, dater, date stamp and ink pad.
  - ❖ Date guide cards for tiling the day's circulation.
  - ❖ Fine record slips.
  - ❖ Circulation statistical sheets
  - ❖ Overdue reminder cards, reserve cards, etc.
2. **Charging routines:** Charging routines are a little more elaborate and time consuming in this system than in the Browne Charging System. The steps involved in charging are as follows:
  - ❖ Borrower's Cards are presented by the user to the assistant at the circulation counter.
  - ❖ The due date or date of issue, whichever is used, is stamped on the date slip in the book by the assistant.
  - ❖ Similarly the due date is stamped on the book card taken out of the book pocket and the borrower's card.
  - ❖ The borrower's number is written opposite the date in the book card and filed behind the concerned date guide card.
  - ❖ The borrower's card and the book are returned to the patron. Thus, the book is duly charged.

**Notes**

3. **Discharging routines:** The steps involved in discharging routines are:
  - ❖ When the book is presented for return along with the membership card, date of return is stamped on the borrower's card, thus cancelling the charge for the book. The borrower's card is returned to the patron.
  - ❖ The book card is located in the circulation file from the date on the date slip and placed in the book pocket.
  - ❖ If the book is returned after the due date, the fine is computed and collected. The date of return is stamped only after the fine is paid.
4. **Reserves:** Reservation procedure in this system is similar to the Browne Charging system. It is in fact easier. The reserve ticket filled in by reader is attached to the borrower's card in the charging tray. When the particular book 'on hold' is returned, the reserve card along with the book card is pinned with the borrower's card and the book is kept in a special sequence and intimation is then sent to the reader who has reserved the book.

**Advantages**

- There is a permanent record of the number and type of books circulated and the kind of books borrowed by each reader.
- It is possible to know at all times, where a given book is, to whom it is charged, and when it is due.
- The record of the number of times a book has been circulated is available even when the book is not in the library.
- Since the transaction is recorded both on the borrowers' card as well as on the book cards the danger of dislocation is minimal. If the borrowers' cards are lost, the record on the book cards is available and vice-versa.
- Several assistants can carry on the routines simultaneously.
- The borrowers can be allowed to borrow books from any branch library of a larger library system, provided there is a central registration file at the main library where an alphabetically arranged copy of all branch registrations is available.

**Disadvantages**

- Routines are slow, and cumbersome. The procedure of writing/stamping of the date of issue/due-date and the borrower's membership number on the book cards are writing/stamping of issue/due date on the borrower's cards are time-consuming.
- There are chances of inaccuracies creeping in, especially when transcribing borrowers' card numbers. This is particularly true during rush hours.
- Two registration files are necessary: an alphabetical file by borrower's name and addresses and a file of registration numbers assigned to each borrower.
- On the whole, the Newark System is considered to be fool-proof and safe. This advantage may not always be available.

**Self Assessment****Notes**

Fill in the blanks:

13. .... is the issue of the books that are presented at the circulation counter to the borrower.
14. Discharging is the work of securing books borrowed and releasing the .....
15. Browne Charging system was devised by .....



Case Study

### Create a More Human Library

#### **Designed for Productivity**

The new Darien Library expects circulation to increase by at least 25 percent, but the staff hours devoted to circulation is expected to drop, thanks to RFID and automated materials handling technology.

The half-century-old library serving Darien, Connecticut was stretched to the limit. Designed for 120,000 items, it held over 160,000. (Every time a new book was added, staff had to discard an old one.) It drew 100 visitors an hour, but had parking space for only 84 vehicles. Staff members were sharing desks and some were working out of closets. Its trustees were calling for community services that couldn't be provided in the existing facility.

The only practical solution was to build a new library, so the staff and trustees started planning and fund-raising. In 2007, construction began on a \$27 million facility that is a model for contemporary libraries—a "great, good place" that will comprise an extensive collection of books, magazines and electronic media, as well as computers, reading rooms and a café. And to ensure customer satisfaction and staff productivity, the new Darien Library will incorporate state-of-the-art RFID and automated materials handling technologies.

Alan Kirk Gray, the library's assistant director for operations, explained why the new facility was designed with RFID in mind: "Everything we do is designed to make life easier for our patrons. We chose RFID for that reason. In some respects, it's a layer of technology between the staff and the customer, but it feels seamless." That intuitive ease-of-use stands in contrast to barcode technology, which Gray said is "harder for patrons in both self-checkout and return."

Gray added that RFID will also provide an important improvement in staff productivity. "We've invested in upgrades to our current barcode system, trying to improve its efficiency. At our circulation desk, our librarians have touch screens and 'aggressive' scanners that don't demand precise alignment. But it hasn't been enough to keep up with the growth in circulation."

The new library's RFID system, however, will introduce Darien's customers to self-service checkouts, which should have a significant impact on staff productivity. Gray expects that 95 percent of customers will be using the 3M Self Check Systems after a year of operation, with that number climbing to 99 percent after another 12 months.

Self-service is expected to increase customer satisfaction and allow staff to be assigned to higher value activities. "The new building will be twice the size of our current facility,"

*Contd...*

Notes

Gray explained. "An expectation of a 25 percent increase in the first year would be conservative. But staffing for circulation and material handling will actually decrease by 30 percent, thanks to the automated materials handling and RFID system." Overall staffing is expected to rise by about 20 percent.

Although automated materials handling systems are available with barcode scanners, Gray said these "put a burden on patrons. Why would we install a system that increases our productivity but puts a burden on our customers? Who's working for whom?" In contrast, he said, RFID is "much easier, much more intuitive and a boon to our patrons."

The Darien Library's decision to go with 3M's system was based on the company's technology and products, as well as "its standing and its financial presence." Gray said. "We're confident they will maintain leadership. They get the market and they will be there when we start installation."

**Questions**

1. How RFID and automated materials handling technology has reduced the staff hours devoted to circulation section?
2. Elaborate the importance of RFID technology in library automation.

*Source:* <http://multimedia.3m.com/mws/mediawebserver?mwsId=66666UuZjcFSLXTtmxfXXM6EVuQEcuZgVs6EVs6E666666-->

### 10.6 Summary

- Circulation is an activity whereby the library materials are lent to the borrowers and records of the loans transactions are kept in an orderly way.
- Circulation is a necessary ongoing activity. As the environment of the library changes, his circulation operations must also adapt.
- Circulation is a major public relations activity because all users directly interact with the system.
- Charging and discharging are central to any circulation system. Circulation systems have evolved gradually from mere controlling and conservative methods to service-oriented systems.
- There are two types of charging systems that are widely used in the Indian Libraries. They are namely: Browne charging system and Newark Charging System.
- The planning and management of circulation is very important and requires careful; consideration keeping in view all the factors involved such as volume and variety of material available on loan, the types of clientele, items that can be issued on loan and the loan period, overdue charges and the choice of charging systems, personnel, equipment.
- Another important function of circulation is the records maintenance and generation and, analysis of statistical information.
- An on-going important activity like circulation needs efficient management, constant review and evaluation.

### 10.7 Keywords

*Circulation:* Circulation is an activity whereby library materials are lent to borrowers and records of such loan transactions are kept in an orderly way.

**Dummy:** Dummy refers to a substitute of the original.

**Flyleaf:** It is a blank page in the front or the back of a book.

**Gate Register:** A register kept at the entrance of a library wherein visitors write their names, address, time of visit, etc., with their signature.

**Holds:** Holds are the books that are kept on reserve for users, which have already been issued.

**Inventory:** It is a detailed list of materials in a library.

**Patron:** Patrons are the users or clientele of a library.

**Property Counter:** A counter at the entrance to a library where visitors can deposit those belongings that are not allowed into the library.

### 10.8 Review Questions

1. Explain the circulation section in a library.
2. What is the aim of circulation work? Also state the scope of circulation work.
3. Describe the functions of circulation section of the library.
4. Explain the registration procedure and its importance.
5. Comment on the charging and discharging functions.
6. Define the following terms of the controlling process:
  - (a) Renewals
  - (b) Holds
  - (c) Recalls
  - (d) Fines or overdue charges
  - (e) Notifications
7. Discuss the types of circulation sections.
8. What are the factors that the management must consider in planning the circulation process?
9. Describe the charging systems that are widely used in Indian libraries.
10. List the advantages and disadvantages of the charging systems in a tabular form.
11. Explain the charging routine in general.
12. Why is Browne System of Issue and Return mostly used in libraries?

### **Answers: Self Assessment**

- |                    |                        |
|--------------------|------------------------|
| 1. Circulation     | 2. Entrance/exit gates |
| 3. Registration    | 4. Hold                |
| 5. Renewals        | 6. sliding scale       |
| 7. conscience box  | 8. reference desk      |
| 9. Property care   | 10. Faculty            |
| 11. gate register. | 12. Patrons            |

**Notes**

13. Charging  
14. borrower's ticket  
15. Nina E. Browne.

**10.9 Further Readings**

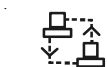


*Books*

Mittai, R. L.. (1984). *Library Administration: Theory and Practice*, 5th Ed. Delhi. Metropolitan Book Company.

Ranganathan, S. R. (1960). *Library Administration*. 2<sup>nd</sup> Ed. Bombay: Asia Publishing House.

Tauber, M. F. (1954). *Technical Services in Libraries*. New York: Columbia Press.



*Online links*

<http://library.iba.edu.pk/circulation.htm>

<http://livinginthelibraryworld.blogspot.in/2008/12/basic-library-procedures-role-of.html>

[http://en.wikipedia.org/wiki/Library\\_reference\\_desk](http://en.wikipedia.org/wiki/Library_reference_desk)



## Unit 11: Library Rules and Maintenance Work

Notes

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### Objectives

After studying this unit, you will be able to:

- Describe the philosophy of the rules of library
- Discuss the factors affecting the library rules
- Discuss the Model Library rules
- Explain the Maintenance Work in a library

### Introduction

In this unit you are introduced to the work of housing a collection and maintaining an order of arrangement of the various types of documents for providing access to them.


If you look at the functions in a time sequence, from the arrival of documents to the library till they are borrowed by users, you will notice that circulation work is preceded by maintenance work. To begin with, we have the acquisition function followed by processing work. Maintenance work comes between processing work and circulation work.

This unit gives you a description of the principles and routines involved in the management of a maintenance section of a library. You are introduced to the different issues relating to the organizations of library materials, especially books on the shelves in a helpful manner. Various routines relating to these aspects are explained, with special emphasis on stacking, shelf arrangement, and stock verification.

### 11.1 Philosophy of Rules of Library

The philosophy of the rules of library is explained via following points:

1. **Library Rules Should be followed:** A user must realize that library rules are framed to get the maximum out of the library resources and to prevent the misuse of library resources. The rules are aimed at increasing the use of the library rather than curbing its use. Thus, the user should regard the rigid enforcement of the rules as an aid rather than a hindrance in the use of the library.
2. **Maintenance of the System:** A user should not misplace the books within the library or damage it. This will deprive the other users; similarly a user should not mutilate or take out cards from the library catalogue, tear pages or steal etc.
3. **Should not Ask for Any Undue Special Privileges:** The Library is meant for every body's use and no one should have undue privileges at the expense of others. The current issues, the reference books etc. which are in much demand should not go through the process of any special privileges.
4. **Returns of Books in Time:** The books that are borrowed must be returned on or before due date so that other users do not have to suffer. If a document is lying unused at home, it is the obligation of the user to return it as soon as possible.




*Notes* All persons borrowing Library materials, or ordering materials for use within the Library, shall produce evidence of identity at the time of borrowing or ordering if requested to do so.

### Self Assessment

Fill in the blanks:

1. The rules are aimed at increasing the use of the library rather than ..... its use.
2. The current issues, the ..... etc. which are in much demand should not go through the process of any special privileges.



*Caselet* **Weeding the School Library Collection**

**T**he first step in collection maintenance is weeding. There is not much point in adding gems to your shelves unless you give them room to shine.

There are many good reasons to de-select a book. Here are the most common:

- Out of date, inaccurate, or misleading information
- Discriminatory language or references
- Lack of links to current BC curriculum
- Reading and/or interest level is inappropriate

Contd...

- Irreparably damaged
- Moulds.

It is probably best to get your administrator – and your custodian – on side before you start.

Notes

Source: <http://gvvla.pbworks.com/w/page/4388351/Collection%20Maintenance>

## 11.2 Factors Affecting the Library Rules

Following are the factors which may affect the decisions regarding library rules:

1. **Purpose and task of the library:** The library collects all kind of media related to the research activities of the institute. It provides the information to all members and guests of the institute.
2. **Users and opening hours:** All members and guests of the institute are allowed to use the library. New members and guests of the institute should be introduced to the library staff. External users can use the library by appointment.
3. **Lending rules:** Members and guests of the institute have lending privileges.
  - ❖ All users need a library card which can be obtained from the library staff.
  - ❖ External users have borrowing privileges with special permission from the library staff only.
  - ❖ All media may be borrowed except single journal issues, bound back issues of journals and newspapers. These media can be taken out for copying only.
  - ❖ Loans are allowed for 4 weeks. Renewal is possible for 5 times. After 6 months all media has to be returned to the library. The loan period for media with red book numbers is 4 days. Renewal is not possible.
  - ❖ Media and library card have to be shown to the library staff in order to borrow the media. The library staff will charge the user account with the media. If the library staff is out of office users can borrow media by writing down their user number, the barcode number of the media and the date in a user-list which is available on the information desk in the library.
  - ❖ Users should return borrowed media to the library staff during the opening hours. If the library staff is out of office users should leave media on the information desk in the library when returning it.
  - ❖ Returning borrowed media directly to the library shelves is not permitted.
4. **Liability:** Users should take care not to damage or lose borrowed media. Writing notes in print media is not permitted. Please inform the library staff of any damaged media. Users are liable for damaged or lost media. They have to pay for repair or replacement of the media. Users have to pay the valid price for the media.
5. **Safety:** Eating, drinking, smoking and talking on the phone are not permitted in the library. Coats, bags etc. should be kept in the lockers near the entrance of the library.
6. **Exclusion:** The executive director of the institute may ban unruly users from the library.
7. **Effective date and compliance:** Use of the library indicates that the member or guest agrees to comply with these rules.

## Notes



*Caution* The use of equipment likely to disturb or distract other readers or to damage Library materials (e.g. digital scanners, radios, personal hi-fi equipment, or computers to perform any of the functions of such machines) is not permitted in the Library.

## Self Assessment

True or False:

3. External users can use the library by prior appointment.
4. Writing notes in print media is permitted in the library.

## 11.3 Scope of Rules and Regulations

Scope of rules and regulations of a library can broadly include information regarding:

- Opening and closing
- Admission
- Borrowing
- Use of Library materials
- Behaviour in the Library
- Loss of Books
- Loss of Membership Card
- Validity of cards
- No due Certificate
- Care of Library Books
- Renewals
- Fine/Damage Charges



*Notes* Library staff are empowered to stop any activity in the Library which they consider prejudicial to the safety, well-being, or security of readers or Library staff or to the preservation of the collections.

### 11.3.1 Model Library Rules

Given below are some of the general rules to be followed in a library:

- Every person who enters the library shall sign the gate register in token of his acceptance to adhere to the rules of the library.
- All kinds of personal belongings except notebook are supposed to be kept in the property counter at the entrance.
- While browsing books, no book should be replaced by the user on the stack themselves.

Notes

- Books once picked out from the stack should be left in the reading table if not issued out.
- The physical condition of the book should be checked while checking out. Mutilation of pages if found is to be brought to the notice of the circulation in-charge otherwise the borrower himself/herself shall be responsible for mutilation of the book if detected afterwards.
- Underlining, marking, folding of pages, etc. in the book is strictly prohibited.
- The Readers should keep silence within the library premises.
- Smoking and spitting are prohibited in the library.
- The readers shall behave in a civilized manner. The Librarian may expel any person if the presence of such a person is liable to create law and order situation.
- The readers are liable for punishment and fine if they either misbehave or damage the books or any other property of the library.
- If a member does not pay off the library dues, the privileges of borrowing books may be suspended till he deposits the requisite amount.
- Readers are requested to let the guard check books issued. Please don't feel offended.
- Token for bag will be issued only for library use hour.
- Library staff will not be responsible for things left in the library hall.
- Watching movie or video on laptop, Playing game on laptop, and eating any items are strictly prohibited.
- Books of reference, illustrated and rare books, special books, multi-volume collections, serial publications and periodicals will not be issued out.
- Please keep your mobile in silence/off mode.

Here, an example of the rules of an institute of Mysore is given below:



*Example: Rules of library of National Institute of Engineering, Mysore*

**Rules**

- Silence to be maintained.
- No discussion permitted inside the library.
- Registration should be done to become a library member prior to using the library resources.
- No personal belongings allowed inside the library.
- Textbooks, printed materials and issued books are not allowed to be taken inside the library.
- Using cellular phones and audio instruments with or without speaker or headphone is strictly prohibited in the library premises.
- Enter your name and sign in the register kept at the entrance counter before entering library.
- Show the books and other materials which are being taken out of the library to the staff at the entrance counter.

**Notes**

- The librarian may recall any book from any member at any time and the member shall return the same immediately.
- Library borrower cards are not transferable. The borrower is responsible for the books borrowed on his/her card.
- Refreshment of any kind shall not be taken anywhere in the library premises.

**Admission to Library**

Students are allowed to library only on production of their authorized/valid Identity Cards.

**Working Hours of the Library**

Monday to Friday 8 am to 8 pm (During Examination up to 10 pm) Saturday 8 am to 4pm, Sundays 9am to 5.00 pm (During Examination Time).

**Circulation: Issue System**

Books will be issued on presentation of the library card along with the smart card. Students are instructed to check the books while borrowing and they will be responsible for any type of damage or mutilation noticed at the time of return.

**Overdue Charges**

Books will be issued to the students for 14 days only. In the last page slip is pasted and stamped mentioning the due date and the fine will be charged @ ₹ 1 per day per book from the due date till the book is returned to library.

**Book Lost**

If the books are lost, then the borrower shall replace the books of the same edition or latest edition or pay double cost of the book after getting permission from the librarian.

**Care of Library Borrower Cards**

Take special care to maintain the library borrower cards. Do not fold, alter entries made on the cards, members are responsible for the entire set of library borrower card issued to them.

**Loss of Cards**

Loss of borrower card should be reported to the librarian in writing. After checking the borrowing register they will be issued a fresh replacement card on a payment of ₹ 200 per card.

**Validity of Cards**

Library borrower cards are valid for the respective academic year only and fresh cards will be issued for each year. At the end of the academic year borrower cards shall be returned to the library.

**No due Certificate**

Each student shall obtain No dues certificate from the library after returning all the books issued, surrendering the borrower's cards and after paying outstanding dues, if any.

**Care of Library Books**

Students are required to handle the books/Journal very carefully; marking with pencil, writing or highlighting, tearing the pages or mutilating the same in any other way will be viewed very seriously. In such case reader shall be held responsible unless these are brought to the notice of the library staff at the time of issue.

**Book Bank****Notes**

SC/ST students of college can become a member of the book bank giving application along with caste certificate, by paying refundable membership fee of ₹ 100 for UG ₹ 200 for PG for the full duration of course. Members of the book bank will be issued 4 textbooks for each semester. Book shall be returned within two days after the theory examination, otherwise a fine of ₹ 1 per day will be charged.

**Reference Section**

This section has encyclopaedia, dictionaries, text books reference books etc. which are only available for reference. User can make use of these resources.

**Journal Section**

In these section journals, general magazines and newsletter are available. They are arranged alphabetically. The latest issues are displayed on display rack and other previous issues are arranged in the drawer. Bound volumes of periodicals are arranged in rack alphabetically and are meant only for reference with in the library.



*Did u know?* Encyclopaedia is a book or set of books containing detailed knowledge and information about a variety of fields or subfields.

**Self Assessment**

Fill in the blanks:

5. While browsing books, no book should be replaced by the user on the ..... themselves.
6. .... for bag will be issued only for library use hour.

**11.4 Maintenance Work**

Of all the functions in a library, the maintenance work is the least discussed in professional literature. However, the importance of maintenance work cannot be over emphasised. In fact, the ultimate success of various other functions like acquisition, classification and cataloguing rests on the efficiency of maintenance work. No matter how well a collection is classified or catalogued, books cannot be serviceable to users unless proper care is taken to organise and maintain the book collection. It is one of those less glamorous, nonetheless, very important tasks in a library. Now let us discuss what constitutes maintenance work. Maintenance work involves continuous monitoring of the proper stocking, arrangement and display of books on the shelves in the stack rooms and taking care of them. This essentially implies two aspects:

- (i) Organisation of the stack room and arrangements of books on the shelves
- (ii) Conservation of books i.e. overseeing and supervising the physical conditions of books, overall cleanliness of the stack areas, etc.

**Organisation**

In an open access library which allows users to browse, choose and select books of their interest, shelf organization and arrangement of books are of primary importance. Books on different subjects that are constantly on demand are to be easily accessible to readers. This means that the professional classification schedules are rarely in tune with the layman's expectations of sequence

## **Notes**

of books on shelves. In public library books of fiction, travelogues, biography may be more popular from the readers' point of view than the more serious books on literature, sciences and social sciences. A classification scheme does not provide the sequence of subjects of books on their popularity.

Besides, reference books like encyclopaedias, dictionaries, year books, directories, etc. should be kept in a separate place for easy reach and uninterrupted use by readers. Recent arrivals and books on current interest must be displayed at a prominent place to attract the attention of readers. Other books must be stacked according to their popular use with reference to the subjects.

## **Conservation**

The second aspect of maintenance work is book conservation. Only books in good physical condition should be allowed to stay on shelves. Constant shelf checking would remove torn, soiled and damaged books from shelves for repair, rebinding or to be withdrawn from circulation. This is a healthy practice and should never be underestimated.

Another important aspect of conservation is that the stacks must be cleaned regularly to protect books from dust, dirt and insects. Air-conditioning of stack rooms would be ideal to protect books from dust, heat and moisture. All these efforts are to aid the fundamental task of locating a book when it is wanted and returning to its assigned place when it is no longer needed; maintaining the order of books and taking care of the books that they are wanted again: All these tasks are usually entrusted to a maintenance section/division in addition to the other functions.

We shall now discuss these various aspects with reference to the responsibilities of the section and the more specific functions this section performs.

## **Areas of Responsibility**

The main areas of responsibility of the maintenance section or division are:

Taking responsibilities regarding (a) the method of stacking and type of storage equipment; (b) the arrangement of the collection, including special arrangement for category of materials – oversized books, non-book materials, etc., (c) the effective and efficient use of the architectural features of the building for stacking books:

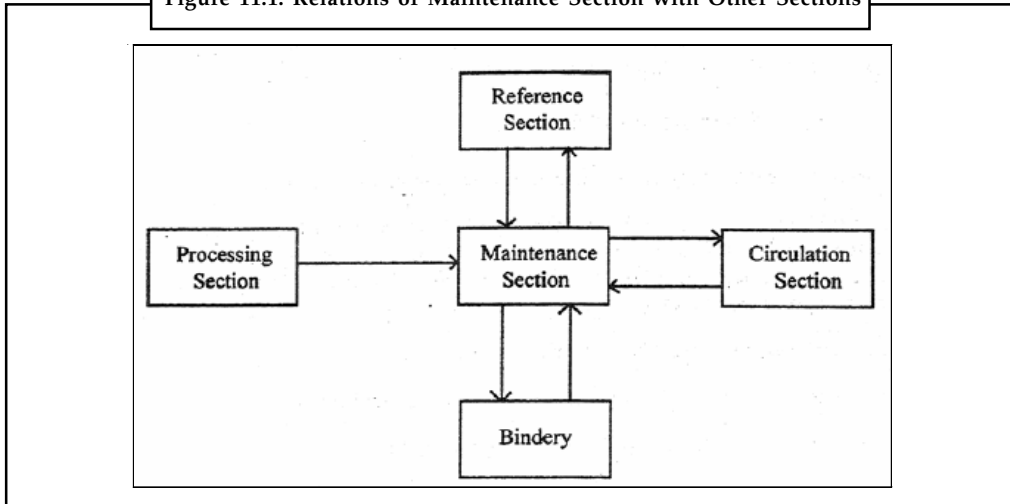
- Maintaining orderliness and cleanliness in the stack-rooms;
- Training and supervising the work of the maintenance section/division staff;
- Decisions regarding the conservation of material, repair, binding, etc.;
- Maintenance of records pertaining to stock control.

## **Relations with Other Sections**

The maintenance section is functionally related to almost all other areas of the library, especially to the processing section which feeds this section with new additions and the circulation section which withdraws books from the stacks and sends back the returned books to the stacks. This section is also related to the reference section, bindery and all other sections in one way or the other. The relations of maintenance section with other sections are shown in Figure 11.1.



Figure 11.1: Relations of Maintenance Section with Other Sections



### Management

The magnitude of maintenance work, like all other work in the library, depends on the size and complexity of the library and the quantum of operations. Decision regarding whether to have a separate maintenance section or not depends mainly on the intensity of operations. In small/medium sized libraries maintenance may be under the circulation section. Apart from the size; another contributory factors whether the library is open access or closed access. In a closed access library, shelving work is relatively less, while paging work is more. Paging involves the job of locating the requisitioned book on the shelf and bringing it from the shelf and giving it to the reader. This work of paging is an integral part of the circulation function' of a closed access library.

In open access, users quite often remove books from the shelves for browsing or consultations and they are not, as a rule, allowed to replace the books on the shelves as they are not likely to know the exact position. This task is invariably taken care of by the library staff. In an actively used library, this work may keep the staff continuously busy throughout the day, making shelving a major function.

It is a common practice to have a separate maintenance section/division with one or more assistant librarians in large libraries like university libraries. The number of junior staff needed for shelf work depends upon the size of the collection and the number of books circulated and the number of users. In larger libraries, having multi-storied stacks, at least one shelf worker should be provided for each wing of the stacks.



*Task* Prepare a set of ideal rules for an open access library.

#### 11.4.1 Functions of Maintenance Work

The specific functions of the maintenance work include:

- Shelving
- Location of documents
- Shifting of collections

**Notes**

- Dusting and cleaning
- Preparation and maintenance of guides
- Maintenance of documents
- Shelf rectification
- Maintenance of shelf list or register
- Stock verification
- Binding
- Vigilance
- Conservation

### **11.4.2 Stack Maintenance**

It is been explained that maintenance work implies the organization of stack rooms, arrangements of books on shelves in stack rooms and conservation. In this section, we are dealing with the maintenance of stack rooms which involves the following work:

- Preparation and maintenance of guides
- Shelf rectification
- Maintenance of shelf register/list
- Maintenance routines
- Tools needed in the maintenance section.

We shall discuss each of the above in the following sub-sections.

**Stack Guides:** Guides are to be put up at different places in the library in order to enable a user to find his/ her way into different parts of the library with minimum of assistance from library staff. In a stack room, the following guides will have to be provided:

- (i) **Tier Guide:** Each tier of stacks should have one tier guide showing the arrangement of books on the shelves in that tier. These should show the subjects covered in the respective tier giving the inclusive class numbers and their verbal headings.
- (ii) **Gangway Guide:** Each gangway should be provided with a gangway guide, indicating the subjects covered in the particular gangway with the help of class numbers and equivalents in the form of verbal headings.
- (iii) **Bay Guide:** Every bay of shelves is provided with a bay guide containing the concerned class numbers and their verbal headings.
- (iv) **Shelf Guide:** Every shelf should be provided with a shelf guide giving the class numbers to denote the subject on which the books are found in a particular shelf.
- (v) **General Guide:** A guide giving an overall view of the stacks and the arrangement of books has to be provided preferably in the lobby or somewhere near the entrance.
- (vi) **General Instruction Guides:** The maintenance section should provide the following guides:
  - ❖ 'No Smoking Please'
  - ❖ 'Talk and Walk Softly'
  - ❖ 'Silence Please'

- ❖ 'Do not shelve the books. Leave them on the table' etc.
- ❖ Stock Verification, etc.

Notes

**Shelf Register/Shelf List:** Shelf register or shelf list is an important record of books; which shows the position of any book on the shelves. In order to control the movement of books in a library a shelf list is made use of. A shelf list is usually maintained in standard size cards. These cards are arranged parallel to the corresponding arrangement of books on the shelves. Books in the library are kept in multiple sequences. Therefore, there would be many groups of shelf list card. The shelf list enables the library to maintain correct sequence on the shelves. It can also indicate immediately the position of any book on the shelf. Shelf list is nothing but a stock register and therefore comes in handy for stock verification purposes. Since the shelf list is an important record, it should be kept under the safe custody and also kept up-to-date.

**Maintenance Routine:** In Addition to the areas of responsibility related to the different functions like stacking, shelf arrangement and stock verification, the maintenance section/division should also attend to day-to-day routines. The duties of routine maintenance work are the following:

- **Dusting and Cleaning of Shelves:** These are important and indispensable routines of libraries which have to be attended meticulously. Books have to be protected from dust and dirt. No room should be given to readers to complain about dust and dirt on the shelves. In a library where stack area is very large, cleaning can be done by mechanical devices like vacuum cleaners.
- **Shelving:** Books received from the processing sections of the library need to be displayed for a week or ten days on the latest additions shelf, before are taken to the stacks for shelving. This may be a weekly activity. But books received from borrowers must be returned to the shelves regularly, preferably the same day so that they are readily available for use by others.
- **Shelf Study and Shelf Rectification:** The maintenance staff at all levels in a library would do well to devote their free time to studying the books on the shelves so as to develop a fair knowledge of their contents. This knowledge is of vital importance to the efficiency of their work, particularly in their relation to the reference section. An intimate knowledge of the book collection would be invaluable in answering reference enquiries which involves prolonged search.

Books are very often misplaced on the shelves by readers who browse through them. Readers are to be strictly instructed not to replace books on shelves but still it may happen quite often. A book wrongly placed is as good as lost. Hence restoring order among the books is absolutely essential. This work is referred to as shelf rectification.

- **Damaged Books:** Shelf study and shelf rectification would also enable the maintenance staff to identify books that need mending, repair, rebinding, etc. Unsocial elements could also mutilate books which can be discovered during shelf study or rectification. These books have to be withdrawn from circulation temporarily till they are repaired or replaced by a fresh copy if they are important.
- **Shifting and Re-shifting Books:** In order to take away the monotony of appearance of shelf arrangement and to introduced an element of novelty, books have to be reshuffled to keep in tune with the changing popularity of subjects with the reading public. While this cannot be done too frequently, the entire library may be reshuffled once in five years. But this is necessary, though it involves extra work and some dislocation in service.
- **Assistance to Readers:** Readers often need advice and help in locating and identifying books of their interest. Although reference assistant may do this job, the maintenance staff that have a closer knowledge of the contents of me library could go to the name of their colleagues in the reference section.

Notes

- **Maintenance of Book Tags:** Book tags carry call number of books fixed at the bottom of books or on their spines. This helps the arrangement of books on the shelf. These book tags get damaged or worn out after repeated use and they have to be re-fixed if they get soiled. In many libraries, book tags have been replaced by tooling, a process by which call numbers of books could be written on the spines or at the bottom of the covers. This will reduce the work of the library.

**Tools:** The maintenance section needs to be provided with the following tools:

- **Books ends or book supporters:** At least two book supporters are required for each plank of the shelves to ensure that the books are standing upright.
- **Book lifts and trollies:** In a multi-storeyed library building book lifts are needed to carry books from one floor to another. Similarly book trollies are needed to transfer books from one end to the other end of each floor.
- **Shelving tables:** One table for sorting out books for shelving should be made available on each floor of stacks.
- **Stools:** A number of stools for short persons to browse books kept on top shelves and also for easy replacement of the books.
- **Ladders:** Two step or three step ladders for reaching upper shelves for shelving, cleaning and dusting.



*Task* State the type of tools required for a stack room with the function of each.

### 11.4.3 Stock Verification

Stock verification implies the physical check-up of the articles on record. This is a common practice in all organisations whether private companies or government departments. Stricly speaking it is undertaken to ascertain that all the books acquired by the library are accounted for. In a narrow sense it means physical check-up but in a broader sense it would mean to have an assessment of the collection of documents.

Stock verification is a controversial subject among librarians due to the conservative attitude of authorities for holding librarian responsible for losses due to theft while no facility is provided or provision is made to develop security arrangement.

**Need for Stock Verification:** Despite its disadvantages and disfavour by librarians, some kind of accounting for the stock is generally felt to be necessary. Some are of the opinion that an annual inventory is essential to identify the administrative defects and slackness and to take necessary action to rectify these tendencies. Stock verification need not be viewed as an unnecessary evil. There are many advantages of stock taking. However the desirability or otherwise of stock verification depends on the size of the library collection. In large libraries, it is difficult to have a thorough regular physical checking. Such libraries may carryout sample verification of various sections in phases to ascertain the stock position.

**Methods:** Following is a brief description of the prevalent methods of stock taking:

- **Stock Verification by Accession Numbers:** The accession numbers of the books from the shelves are read by one person and another person checks and tick marks the corresponding accession number in the register. When all the books in the library and out in circulation are checked in this manner, the unmarked accession numbers give us a list of lost books.

This method is cumbersome and time consuming as the books on the shelves are arranged by class numbers. The use of accession register, which is a very important record, also spoils. A modified method is to prepare and use a duplicate accession register. But then the task of preparing another duplicate accession register is stupendous and also involves unnecessary wastage of time, energy and money.

Another simplified variant of this method is to prepare slips with only the accession numbers and use these slips for stock taking. Alternatively a register bearing only serial numbers in columns in a page may be used. Numbers may be crossed out for books on the shelf. However both the methods may lead to malpractices since bibliographical detail cannot be verified in either of the two. However, this method may lead to malpractices; for example, a lost book may be replaced by another cheap book with the same accession number, since bibliographical details are not provided.

- **Numerical Counting Method:** This is another simple method, wherein all the books on the shelves and the books out on loan are counted and tallied with the total number of books as per records. The comparison indicates the less of books in terms of only numbers. However, it does not reveal the particulars of the books and hence it serves only a limited purpose of stock verification, however, this method gives a rough idea of the extent of loss.
- **Stock Verification by Shelf List Method:** Maintenance of an up-to-date and accurate, shelf list is a pre-condition for this method of stock taking. Shelf list on cards is very flexible and facilitates speedy stock verification. The cards are taken to the stack and call number of each book on the shelf is read by one person and another person either ticks it or takes out and keeps it in another tray. Otherwise the cards of missing books can be removed and kept it in another tray. Otherwise the cards of missing books can be removed and kept separately. This is an easy, simple and quick method. The trays containing the shelf register cards can be distributed among a number of persons and simultaneous stock verification of various sections of the stack is possible. Though time-consuming, this is a very efficient method of stock taking, and stock verification is also achieved in this method.

Some of the advantages and disadvantages of stock verification are listed in this section.

### Advantages

- By revealing the number of books lost in a library it helps to replace the lost books.
- Gives an indication of books popular with readers although often in academic libraries such books are not necessarily those recommended in the course.
- Enables the library staff to get a better acquaintance with the books, which is very necessary for the maintenance staff.
- Ensures thorough dusting, cleaning and rearrangement.
- Facilitates identification of worn-out books for mending, repair and binding.
- Helps to keep the library catalogue and other stock control records up-to-date.
- Gives an indication of the efficiency of the library staff with reference to vigilance and carefulness in maintaining the collection.

### Disadvantages

- Regular routine of library work gets disturbed;
- Inconvenience to readers is caused;

**Notes**

- Considered to be a waste of time, energy and money by some;
- May turn out to be a futility since the reality may never be revealed for various reasons.

**Loss of Books:** Loss of books is inevitable in open access libraries wherein the users have the freedom to browse through books, though a closed access system is also not immune from loss since theft may take place through staff which has access to the stock.

The reasons for stealing or mutilating of books may be as follows:

- Some are regular thieves and stealing is their inherent character. Despite necessary precautions it may be difficult to control this type of thieves.
- Poor vigilance may tempt some people to steal. The reader may find stealing an easy way out compared to borrowing.
- Very strict rules and regulations regarding the use of books may also induce people to steal. For example, certain materials are not lent out for home reading and a reader may be disinclined to refer the same within the library premises for various reasons. It is very common in academic libraries to find issues of periodicals with pages missing, because of this reason.
- Some book lovers have a pervert possessive attitude towards books and may steal them.
- Lack of proper security policy in libraries.
- Wrong assumption that theft is only through library users and staff is free from such trait.

**Responsibility for Loss of Books:** In a majority of libraries of the western countries, librarians are not held responsible for books losses, but many organizations in India continue to hold librarians responsible for book losses. The situation has fortunately, changed now for the better, mainly due to the efforts of professional bodies like library associations. It is generally accepted that a loss of three books per thousand books circulated as a normal loss which may be written off.

**Measures to Minimize Book Losses:** Steep rise in cost of books, ill-organized Indian book market which makes replacement of lost material difficult, dependence on foreign publishers together With increasing tendency towards theft and mutilation lead us to give more serious thought to the security measures in libraries. Some of the measures adopted by the library may conflict with policy of efficient access to library materials. But the librarian is responsible also for preservation of library material for the future generation. Instead of ad hoc measures such as installation of electronic theft detection mechanism, the Library must formulate a definite well spelled security policy. Some of the issues which should be made part of the policy are listed below:

- Security of collection including equipment's.
- Closed/restricted access policy, appointment of guards, publicising penalty for theft and mutilation, property stamping, equipment tagging, locked storage facility for equipment, proper identification of users, after use procedure to determine damage if any to the equipment.
- Security of cash Provision of cash box, cash register, cash handling procedure and accountability.
- Computer based bibliographic and patron's records Terminal access/permission, password, back up type, disc/software, policy of off site location for back up data, microfilm duplicate records.

- Key policy and building security Procedure for issuing and reclaiming keys, periodic change of locks, silent alarms, adequate lighting, custodial services, access, window and book drop security.
- Liability and library stock insurance.
- Adequate and moderately terrified photocopying services.
- Increased reading hours, especially during examination days.

#### 11.4.4 Withdrawal and Weeding

In order to maintain a strong and efficient book stock withdrawal and weeding both are essential activities of a library. According to ALA, minimum standard for public library system out-dated, seldom used and shabby items remaining in the collection can weaken a library as surely as insufficient acquisition.

**Withdrawal:** A book may be withdrawn from collection/from the stock register and shelf list if:

- It is out-dated
- Worn out beyond repair
- Found lost in stock verification
- Damaged to the extent that it is unusable.

The library should have a policy statement spelling out suitable conditions and time schedule for withdrawal of books. The under mentioned steps have been suggested for effecting withdrawal:

- (i) To withdraw an item from the collection, first match the shelf list card to the item or its books card.
  - ❖ If shelf list indicates only one copy one of the two courses is open
  - ❖ The item can be reordered
  - ❖ The item can be discarded, in which case the entire set of catalogue card including the shelf list card must be discarded.
- (ii) If the shelf list indicates more than one copy of the title, the record regarding the withdrawn copy may be, indicated on the main card/tracing section as “lost”, “damaged” and “withdrawn”.

**Weeding:** In course of time some books in the library become out-dated (e.g. books with statistics). Sometime later research result into making information in earlier edition inaccurate. Similar are books less circulated or fatigued one. Not all old books are valuable in each library. The need for weeding out such books cannot be over emphasised. The following steps are suggested for weeding out unwanted material.

- Arrange such books in correct order
- Assemble the necessary relevant catalogue record
- Put a disposition slip in books to be withdrawn.

A tabular record for books withdrawn/weeded as per illustration may be maintained. In all such cases approval of the relevant parent body also must be taken before effective withdrawal/weeding.

Notes

**Self Assessment**

Fill in the blanks:

7. A ..... does not provide the sequence of subjects of books on their popularity.
8. In an ..... library which allows users to browse, choose and select books of their interest, shelf organization and arrangement of books are of primary importance.
9. In larger libraries, having multi-storied stacks, at least one ..... should be provided for each wing of the stacks.
10. .... gives the class numbers to denote the subject on which the books are found in a particular shelf.
11. .... is an important record of books; which shows the position of any book on the shelves.
12. .... carry call number of books fixed at the bottom of books or on their spines.
13. .... implies the physical check-up of the articles on record.



Case Study

**Weeding Project Overview**

Collier Library is undertaking a long overdue weeding of print books. Weeding is the process of culling a library's print materials of selective titles that no longer serve the needs of its users. As most of you know, today's academic library no longer points to the print collection's size as an indicator of quality or success. With expanding availability of electronic materials — Collier currently offers access to over 200,000 e-books and 19,000 online journals — collections have actually grown more rapidly than in the days of print. In addition, today's students work more collaboratively and require facilities that meet these needs. As a result, it is important that Collier recognizes these trends with an eye toward spaces designed for student use and collections that mirror current curriculum. With this in mind they will weed the existing book collection to (1) Make more room for student-centered learning facilities and (2) Ensure that print collections are optimized for relevance and currency. To achieve this they need your input.

Collier partnered with Sustainable Collections Services (SCS) to develop rules to identify items for possibly withdrawal. SCS is currently working with several top tier academic libraries such as Johns Hopkins, California State University System, and James Madison University on similar projects. SCS extracted, compiled, and analysed our data to develop a list of "withdrawal candidates." This list provides a starting point for the discussion of materials eligible for withdrawal. Data used to identify withdrawal candidates included: most recent circulation date, publication date, and the number of libraries holding the item in the US. The rules associated with each of these factors varied by subject area – for example, a more recent publication date is more important for nursing and science subjects than for history or literature books.

Starting in July Collier faculty, staff, and student workers will begin "flagging" withdrawal candidates. We invite teaching faculty to come over and visit your call number range

Contd...



## Notes

when flagged and provide input on whether or not a title should be withdrawn. An email notification will be sent to the campus when each phase of flagging is complete.

This will be a four phase operation beginning with call number P. The tentative timeline is:

Phase 1- Collier Main books with call numbers beginning with P

(Faculty review complete by October 31, 2012)

Phase 2—Collier Main books with call numbers beginning with A-G

(Faculty review complete by February 28, 2013)

Phase 3—Collier Main books with call numbers beginning with H-O and Q-Z

(Faculty review complete by May 31, 2013)

Phase 4—Collier Reference Collection

(Faculty review complete by October 31, 2013)

### Questions

1. What do you mean by the term “Weeding”?
2. Why does the Collier University want to weed the existing Book Collection? And how does it take place?

Source: <http://collierlibraryweeding.blogspot.in/2012/07/weeding-project-background.html>

## 11.5 Summary

- The library rules are aimed at increasing the use of the library rather than curbing its use.
- The Library is meant for every body’s use and no one should have undue privileges at the expense of others.
- The members and guests of the institute have lending privileges in a library.
- Users should take care not to damage or lose borrowed media. Writing notes in print media is not permitted. Please inform the library staff of any damaged media.
- There are various modern library rules discussed in this unit.
- Maintenance work involves continuous monitoring of the proper stocking, arrangement and display of books on the shelves in the stack rooms and taking care of them.
- The important aspect of maintenance work is book conservation. Only books in good physical condition should be allowed to stay on shelves.
- The maintenance section is functionally related to almost all other areas of the library, especially to the processing section which feeds this section with new additions and the circulation section which withdraws books from the stacks and sends back the returned books to the stacks.
- Library maintenance is as much the responsibility of the user as of the librarian.

## 11.6 Keywords

**Closed Access:** No access to shelves for users. Books are brought to them from the shelves by the library staff.

**Notes**

**Conservation of Documents:** Preservation of documents from loss, damage, decay etc.

**Open Access:** Readers are free to move into the stacks for browsing and selecting any desired item.

**Paging:** The job of locating a required book, taking it out from the shelves and giving to the requester.

**Shelf Register:** Shelf register or shelf list is an important record of books; which shows the position of any book on the shelves.

**Stock Verification:** Stock verification means to have an assessment of the collection of documents.

**Tiers:** Rows of shelves in a library.

**Weeding:** It refers to the removal of unwanted or out-dated books from the library.

### **11.7 Review Questions**

1. Describe the factors affecting the library rules.
2. Elaborate the Model Library Rules.
3. Explain the Maintenance Work of a library.
4. Describe the functions of Maintenance Work.
5. Define Shelf Register.
6. What are the duties of routine maintenance work?
7. Describe the tools needed by the maintenance section.
8. Describe the daily routine of maintenance section of a large library.
9. Distinguish between open access and closed access libraries with reference to shelf work.
10. What are the methods of Stock verification?
11. List the various advantages and disadvantages of stock verification.
12. Define the following terms:
  - (a) Withdrawals
  - (b) Weeding

### **Answers: Self Assessment**

- |                                  |                    |
|----------------------------------|--------------------|
| 1. Curbing                       | 2. reference books |
| 3. True                          | 4. False           |
| 5. stack                         | 6. Token           |
| 7. classification scheme         | 8. open access     |
| 9. shelf worker                  | 10. Shelf guide    |
| 11. Shelf register or shelf list | 12. Book tags      |
| 13. Stock verification           |                    |

## 11.8 Further Readings

Notes



Books

C.K. Sharma, Kiran Singh. 01-Jan-2005. *Library Management (Vol 1)*, Atlantic Publishers & Distributors.

D.K. Pandey. Jan, 2004. *Library and Information Science*. Atlantic Publishers & Distributors.

Richard E. Rubin. Third Edition. *Foundations of Library and Information Science*. Neal-Schuman Publishers New York London.



Online links

<http://www.nie.ac.in/library/library-services/>

[http://www.mpi-magdeburg.mpg.de/library/NeueSeiten/general\\_info/bibl\\_ord\\_eng.pdf](http://www.mpi-magdeburg.mpg.de/library/NeueSeiten/general_info/bibl_ord_eng.pdf)

<http://mentalfloss.com/article/48843/9-very-specific-rules-real-libraries>

## **Unit 12: Periodical Section**

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### **Objectives**

After studying this unit, you will be able to:

- Identify the factors behind selection, procurement and receipt of periodicals;
- Identify the problems and issues that may rise in the acquisition of periodicals;
- Analyse the various jobs involved in their receipt and control;

- Describe about different types of Periodicals.
- Discuss how to Create, maintain and handle appropriate records, registers and files of the periodicals department.

## **Introduction**

Periodicals are publications which are issued at regular intervals, such as journals, magazines, and newspapers. They are also often referred to as serials. Periodicals usually consist of a collection of articles, which may range from a single page story in a magazine to a 40 page study in a scholarly journal.

Periodicals can offer some advantages over books depending upon your information need. However, when using periodicals, it is important to understand the difference between scholarly and popular periodicals.

This unit describes the scope and functions of this department, and the planning processes involved in the selection, acquisition and receipt of periodicals. All these jobs are to be carried out by designing suitable forms, registers and records to ensure the smooth supply of every issue of a periodical.

## **12.1 Periodicals Department**

Since periodical publications are now a major information disseminating media, the work of the Periodical Publications Section assumes great magnitude and importance in libraries of universities, research institutions and other learned bodies. They, however, form one of the “sources of perplexity” in library work. “Their vagaries may transcend all imagination and anticipation. It looks as if nothing relating to a periodical publication can escape the sport of caprice-publishing society, name, periodicity, format, pagination, excrescent attachments to all story volumes and, last but not the least, the span of the lives and resurrection”, says Ranganathan. In other words, the kinds of complexities pertain to irregularity in volume – number, irregularity in publication, change of title and sponsor, amalgamation, splitting, supplement, etc. For details regarding each, the reader is referred to Ranganathan’s Classified Catalogue Code. These vagaries not only create problems to the cataloguer but also break the back of the Periodical Section which is entrusted with the task of acquiring periodicals. In addition, if the non-receipt of a particular issue is not brought to the notice of the publisher, the chances of the library getting it later are rather slim.

### **Definitions of Periodical**

A periodical is defined as “a publication issued in successive parts usually at regular intervals and as a rule intended to be continued indefinitely” by A.L.A. Glossary of Library Terms. On the other hand, Ranganathan defines a periodical publication as a Conventional Document with the following attributes:

1. A volume, or a small group of volumes of it, is intended to be published or completed normally once in a year (or at other regular intervals), though irregularity in interval is not ruled out.
2. Each successive volume, or periodical group of volumes, is usually distinguished by the year of publication and/or by a number belonging to system of simple or complex ordinal number. Such a number is usually called the Volume Number.

**Notes**

3. The intention may be to continue the publication of the volumes for ever, though not actually be carried out.
4. The intention may be to continue the same title in all the volumes, though this may not actually be carried out.

On the other hand, ISO Standard 3297 defines a serial as “a publication in printed form or not issued in successive parts usually having numerical or chronological designations and intended to be continued indefinitely” Thus, the term serial encompasses an extremely wide range of material including journals/periodicals, newsletters, newspapers, technical and research reports, yearbooks and annuals, and national and international government publications.

In modern times, it is necessary for the collection manager or librarian to be prepared to deal with periodical/serial literature published in a variety of physical formats in addition to the traditional print on paper. For example, microfilm and microfiche have, for many years, been popular serial formats. An important development in recent years is the increasing number of periodicals/serials available in electronic formats, either as full text on-line databases or on CD-ROM. CD-ROM is a particularly useful format for indexing and abstracting services, and the number of indexing and abstracting journals on CD-ROM is increasing.

Whatever may be the format, the activities of the Periodicals Department include those pertaining to selection, ordering and receipt of periodicals/serials. To be efficient and effective, the Periodicals Department has to function in close cooperation with other departments, especially the Reference and Documentation departments which are directly concerned with the In this context, the following set of objectives for a periodicals/serials department would be useful to:

- Ensure that the periodicals/serials collection is, and remains, relevant to the needs of the user community.
- Ensure prompt and uninterrupted receipt of issues by careful budgeting, regular updating and maintenance through financial control systems, timely payment of invoices, claiming parts not received and close liaison with suppliers.
- Conserve and preserve material by binding and other conservation procedures.
- Facilitate access to up-to-date information about the range, scope and location of material within the collection, etc.



*Did u know?* Core titles such as Biological abstracts, Index medicus, Science Citation Index, ERIC databases are widely available, sometimes from several different publishers.



*Notes* A periodical is defined as a publication issued in successive parts usually at regular intervals and as a rule intended to be continued indefinitely.

**Self Assessment**

Fill in the blanks:

1. .... are publications which are issued at regular intervals, such as journals, magazines, and newspapers.
2. .... is a particularly useful format for indexing and abstracting services.



Caselet

### Locating Printed Periodicals on the Shelves

**C**urrent Periodicals: Periodicals noted as “Current issues in Periodicals Room” in the Cornell Library Catalog are shelved by title in the Current Periodicals Room on the main level in Olin Library. This room is immediately to the right and down the hall as you enter Olin Library. **Only a small selection of current periodicals is in this room:** all other current periodical issues go directly to the Olin stacks where they are shelved by call number.

**Back Periodicals** are shelved by call number in the Olin and Uris Library stacks. Some back periodicals are shelved in specific subject rooms; watch for location notes in the Cornell Library Catalog record for the title you want.

Pay attention to the + and ++ indicators by the call number. Titles with the + and ++ (Oversize) designations and titles with no plus marks are each shelved in separate sections on each floor in Olin Library.

Back issues on microfilm, microfiche, and microprint are housed near the Olin Library Media Center on the lower or B Level.

Source: <http://olinuris.library.cornell.edu/ref/research/periodical.html>

## 12.2 Periodicals Selection

Acquisition work includes three distinct phases of activities. Periodicals selection is the first phase. The selection of periodicals for subscription, exchange or as gift is an important function of the library. This process is more difficult than book selection. While in the latter case, selection pertains to only one volume, selection of periodicals covers all the successive volumes to be published. Due to this standing commitment, great care should be exercised in periodicals selection. This involves two aspects, namely, planning and procedure.

### 12.2.1 Planning

Planning is a task or activity that is required on a continuous basis for the management of all activities in an organization, including libraries and information systems. It is “....deciding in advance what to do, how to do it, when to do it and who is to do it ....it is an intellectually demanding process and requires the conscious determination of courses of action and the basing of decisions on purpose, knowledge, and considered estimates”.

The selection of periodicals by the library depends on the following factors:

1. Scope of the library
2. Needs/demands of the users
3. Needs of the collection – including availability/accessibility in organization, close to the library
4. Personnel, their knowledge and skill
5. Financial resources available

These factors are similar to those of book selection, namely, demand, supply and finance. You can examine below these aspects of planning under four heads, namely:

**Notes**

- Ascertaining demand
- Acquiring sources
- Allocating funds
- Arranging personnel

### **12.2.2 Selection Procedure**

There can be two sets of operations in the selection of periodicals: those relating to continuing titles, and those relating to new titles.

(i) *Continuing Titles:* Every library will have a set of periodicals that are currently received. The subscriptions for them have to be renewed every year. The procedure involved in this renewal work can be outlined as follows:

- ❖ Preparing the current list
- ❖ Reviewing the current list
- ❖ Consulting the cooperating libraries
- ❖ Reviewing the financial position
- ❖ Selecting items for deletion
- ❖ Consulting the experts, and
- ❖ Obtaining sanction

A complete list of currently received periodicals should be made with the new subscription amounts payable against each title. This list must then be subjected to a review by examining the desirability of continuing each item. Such a review and revision of the list will become necessary due to many reasons, like the unworthiness of certain periodicals, the appearance of new and more worthy publications, the change in the requirements of the clientele, or inadequacy of funds. Although deletion of items once taken is an unhealthy practice, deletion would become unavoidable in certain circumstances. At the same time it must be remembered that periodicals have a permanent value. Even if a temporary decline in value can be found in the case of a particular periodical, it is more prudent to continue the title than cancel it. Collection building with regard to periodicals is a work that requires great forethought. Frequent deletions from current lists only indicate lack of this forethought in the original selection. There may be occasions when a cooperating library in the neighbourhood also is subscribing to the same journal. In such a case, an understanding should be arrived at between the two libraries to avoid duplication. Deletions effected through such arrangements can be replaced by new titles. In any case, necessary consultation with subject experts is a pre-requisite in finalizing the list. The final list is then presented to the sanctioning authority for sanction. The list is then ready for ordering.

(ii) *New Additions:* The procedure in the selection of new titles can be outlined as follows:

- ❖ Suggestions from experts
- ❖ Preliminary checking
- ❖ Details collected from sources
- ❖ Enquiries from publishers
- ❖ Finance



- ❖ Consulting experts, and
- ❖ Obtaining sanction

Notes

As and when specific titles of probable interest to the library are brought to notice, their particulars are taken note of. The library comes to know about such titles from various sources like announcements and advertisements, trade journals, entries in national bibliographies, suggestions from readers or indents from departments. These items are then subjected to a preliminary checking with the current list, and items available already in it are scored off. Complete details regarding the remaining items are collected from periodical directories or union catalogues. The correct title, name of the sponsor, if any, name and address of the publishers, periodicity, and subscription rate are the minimum details to be taken note of in each case. In the case of newly published journals, such details may not be found in published sources. Hence, enquiries have to be made from the publishers directly. Selection of periodicals will be more effective if specimen copies are available. Very often, specimen copies of new periodicals can be acquired from publishers free of cost. In some cases, specimen copies have to be paid for, or returned after examination. The next step in selection is ascertaining the financial position and ensuring that there is enough money to pay for the new selections. Proposals for new additions have to be adjusted within the funds available. The experts are then consulted for their approval of each item proposed. The approved items are then presented to the sanctioning authority and the final sanction is obtained for ordering.

### 12.2.3 Selection Tools

The different practices followed by libraries in the choice of the supplier are:

- **Tender Method:** In tender method, every book list of finally selected items is circulated among a number of booksellers who are invited to quote their lowest prices for each item. The order is placed for each item with the firm offering the lowest price.
- **Quotation Method:** In this method, quotations are invited for various categories of documents along with trade discounts admissible in each case. This is done usually prior to the beginning of the financial year. The supplier for each category is fixed finally on the basis of the most economic terms offered.
- **Standing Vendor Method:** A standing vendor is one who is appointed as the authorized supplier to library for a specified time, generally for a year or two, under prescribed terms and conditions of supply.
- **Books-on-Approval Method:** In this case reputed publishers will be sending their new titles as and when published to the library directly. These items are accepted after due process of selection. The formal order will be placed with the local bookseller named by each publisher. Sometimes the local booksellers, at frequent intervals, bring some recent publications for approval and ordering. The selected items are included in a formal order and accepted while the others are returned.
- **Open Purchase:** Purchasing from the book fairs and buying from any bookseller from the open market comes under this method.
- **Direct Ordering with Publisher:** Direct ordering with publishers or their representatives is done by some libraries.

The six general categories of selection aides are:

- Current lists of books which are produced in the form of pamphlets, bulletins, leaflets, announcement folders, etc.

**Notes**

- Catalogues and bibliographies.
- National bibliographies.
- Subject bibliographies.
- Current reviews.
- Special lists that give data on books recommended or booksellers, or core publications in a particular area or discipline.

**Self Assessment**

Fill in the blanks:

3. .... is a task or activity that is required on a continuous basis for the management of all activities in an organization, including libraries and information systems.
4. In ..... method, every book list of finally selected items is circulated among a number of booksellers who are invited to quote their lowest prices for each item.
5. Purchasing from the book fairs and buying from any bookseller from the open market comes under ..... method.

**12.3 Ordering Procedure**

Following section provides information about the ordering procedure for periodicals in a library.

**12.3.1 Methods of Ordering Periodicals**

Two different methods are available for ordering of periodicals. They are the direct subscription method and the agency method. In the former case, the library places orders directly with the publishers of each periodical. In the latter case, the order is placed with an agent who acts as the intermediary between the library and the publishers. Each of these has its own merits and demerits. These are examined below:

**Direct Subscription Method**

There are several reasons why libraries resort to direct ordering of periodicals with the publisher:

- It is speedier than channelising orders through agents.
- It is more economical since the library will not have to pay service charges to agents. In some cases, the publishers may even offer incentive discounts to libraries. The agents do not offer such benefits.
- It is more efficient since the periodicals are more promptly delivered to the library by the publishers than the agent. Mistakes in supply, if any, when pointed out, are immediately rectified by the publishers.
- It is less risky and safer to pay advance subscription to the publishers than entrusting large amounts to the agent.
- There are some publishers who may not be willing to work through agents unless the agent in question has established business connections with the publishers.
- Many government and institutional publications are available only as gift or for exchange. Agents do not deal with these categories of publications.

Against the above advantages, some point out that direct subscription is more troublesome for libraries because of the administrative work involved in corresponding individually with the publishers in every case of ordering, reminder, mistake in supply, and settlement of claims regarding missing numbers. Further it is pointed out that the expenses of postage in the case of foreign periodicals will work out very high. Notwithstanding these extra costs in administration and postage, direct subscription ensures prompt and efficient service.

### Agency Method

The alternative to direct ordering with publishers is to acquire the periodicals through a duly appointed subscription agent. A subscription agent is a person or firm acting as a liaison between the subscribing library and the publishers. Such an agent may also be called a vendor or a dealer. The advantages of acquiring periodicals through agents are:

- Much paper work on accounting by the library can be avoided since orders are placed in bulk and payment is effected against consolidated bills of the agent.
- Agents are more familiar with the peculiarities of individual publishers than the library, and they can act accordingly.

There are also disadvantages:

- Some argue from experience that many agents do not honour the contractual agreements entered into between themselves and the libraries.
- Periodicals received through agents become more expensive for the library as they take handling charges, and do not allow the library the benefits of concessional prices or discounts allowed by publishers.
- There can be some time gap between the termination of one contract and the creation of another. As a consequence, timely renewal of subscription cannot be affected and the library is exposed to the risk of broken files.
- Some agents may not remit the subscription to the publishers in time although they have collected the amount from the library. The publishers will resume supply of the journals only after payments are effected. Here again, there is the risk of incomplete volumes.

However, these disadvantages can be remedied to a considerable extent if proper care is taken in the appointment of the agent. Prompt, regular and reliable service should be the chief criterion in the choice of the agent. There are agents with a good reputation and publishers are happy to deal with such agents. Therefore, the choice of the agent is the crucial factor in the agency method of periodicals' procurement.

### 12.3.2 Stages in Ordering Procedure

Ordering procedures relates to two stages:

1. Pre-ordering work
2. Order placing work

#### Pre-ordering Work

Pre-ordering work includes various jobs connected with:

- Invitation for tenders or quotations
- Tabulating the quotations

**Notes**

- Fixing the suppliers or agents
- Signing the contracts

For administrative reasons, it becomes essential to call for competitive quotations from different agents/suppliers for the supply of selected periodicals. It is not necessary to call for quotations individually for periodicals since it will not be possible for the agent to under quote the publishers' rates. The agencies would be required to finish their terms of contract in respect of; (a) conversion rates for foreign currencies; (b) advance payment of subscriptions; (c) percentage of trade discounts, if any, offered over subscription rates; (d) handling charges, if any, for periodicals coming under no-discount strategy; (e) supply of missing issues; (f) the executing of an agreement, etc. Apart from service, the financial status of the agent should to be considered while appointing him as a supplier for a fixed period of time, say one or two years.

In case of advance payments) for subscription to foreign periodicals, it may be a wise policy for small libraries to subscribe through Indian subscriptions agents. Some of the advantages and disadvantages in placing orders through an Indian subscription agent are highlighted below:

*Advantages*

1. Agents frequently allow a certain percentage of discounts over the subscription rates of some periodicals where publishers do not offer any discount to subscribers.
2. Agents get agency commission from most of the publishers which results in the saving of foreign exchange to the extent of 10% to 15%.
3. Payments are made in Indian currency. There is, therefore, no need to apply to banks for obtaining bank drafts for payment of subscriptions in foreign currencies.
4. Correspondence is restricted to one party, i.e., the agent concerned.
5. Expenditure on postage and correspondence work will be i: 'iced, if subscribed through an agent.
6. The agent will act on the subscriber's complaint about "non-receipts" and arrange for replacement or refund of a proportionate amount for missing issues.

*Disadvantages*

1. When subscribed through an agent, it will not be possible to correspond with the publishers regarding the missing issues of periodicals in the absence of details of payment of subscription rates.
2. It is necessary to check the subscription rates claimed by the agent for each and every title with the publishers' rates which consumes the time and energy of the staff.
3. The agents will not be able to know about the "non-receipt" till they are intimated by the subscribers, since the publishers supply the periodicals directly to the subscribers. Hence, some, agents decline to undertake the responsibility of arranging replacements for the missing issues.
4. There are cases of some agents who have not remitted the subscriptions in time to the publishers leading to 61, in the supply of periodicals and resulting in incomplete volumes due to interrupted supply of some issues.
5. Agents claim handling charges in case of periodicals published by learned societies and professional institutions, which do not offer agency commission.
6. Institutions will remain in the dark about the non-receipt of subscription amounts by the publishers till they are intimated by the latter.

7. The conversion rates for foreign currencies claimed by the agents have to be checked with the conversion rates circulated by the Good Offices committee from time to time.
8. There are cases of subscription agents who create complications by refusing to take responsibility over claims for missing issues in violation of the agreement. In such cases the execution of the agreement is no remedy unless supported by a security deposit.
9. The subscription agent has to be appointed after calling for quotations and selecting the lowest. The work involved in calling for quotations and appointing the agent will take much time resulting in the delay of payment of subscriptions which can affect the regular and prompt supply of periodicals.
10. Changes in the administrative setup of subscription agents cause interruption and sometimes complete stoppage of supply.
11. Normally the lowest quotation is accepted, but it may prevent the selection of a reliable agent.

### Order Placing Work

Order placing work includes various jobs connected with:

- Renewal orders for the continuing titles,
- Cancelling of unwanted titles, and
- Ordering of new titles.

Cancellation of a current title should, as far as possible, be effected with the completion of the current volume. Similarly, new titles should be ordered with effect from the first issue of a volume. The jobs included in order placing will vary according to the method of ordering chosen, namely the direct subscription method or the agency method.



*Caution* Renewal orders should be placed without causing any break in the continuous supply of the periodicals concerned.

### Self Assessment

Fill in the blanks:

6. In the ..... method, the library places orders directly with the publishers of each periodical.
7. In the ..... method, the order is placed with an agent who acts as the intermediary between the library and the publishers.
8. .... are more familiar with the peculiarities of individual publishers than the library, and they can act accordingly.

### 12.4 Recording the Receipt of Periodical Publications

Planning for the work of receiving periodicals has to do mainly with the methods for ensuring the prompt receipt and recording of the periodicals. The methods of recording adopted not only should account for the periodicals subscribed to and received, but also should alert the library about the non-receipt of any item after its expected date. It must enable the detection of the non-receipts so that follow-up actions like sending reminders and claiming replacements can be

**Notes**

done as a regular routine. The system must also help in settling claims for non-supply and in avoiding overpayment. However, there are different methods in use among libraries, the most common being:

- The Ledger System
- The Card System
- The Three Card System, and
- The Kardex

### **12.4.1 The Ledger System**

In this system, the record is kept in the form of a bound register wherein each page is allotted to a periodical. On top of the page usually, details like the name of the periodical, its periodicity, the name of the publisher/sponsor, the name of the supplier, the amount and period of subscription paid, etc., are written. Columns will be provided for year and months, volume and number, date of receipt and remarks. Entries will be made in these columns as and when current issues are received. The chief advantage of this system is that each page will explain the receipt of the various issues of a periodical. This method may be found satisfactory for a small library subscribing to a few periodicals only. The chief disadvantages of the system are that each page has to be examined in order to take note of the non-receipt or overdue issues at a point of time.

### **12.4.2 The Card System**

The Card System can overcome many of the disadvantages of the Ledger System. In this system, cards of a uniform size, either 5" × 3" or 6" × 4", can be used where each card can hold the data relating to a particular periodical. The card can contain all the details normally found in the Ledger System. If separate cards can be used for the different volumes of a periodical the card can contain additional information like the reminders sent, claims made, etc.

### **12.4.3 The Three Card System**

The Three Card System is a method introduced by Ranganathan. In this system three different cards of the size 5" × 3" are maintained for each periodical. They are called the Register Card, the Check Card, and the Classified Index Card.

**Register Card:** This is intended to record information about the name of the periodical, the name of supplier, the periodicity, the order details, the annual subscription, the payment details, details of issues received, etc. The Register Card enables the library to know the issues received and the dates of their receipt. These cards are arranged in a tray in alphabetical order so as to facilitate the title approach.

**Check Card:** The Check Card is the most important contribution of this system. It contains columns for volume and number, due date, details of reminders, etc. It is the arrangement of these cards which meet its very purpose, namely, watching the receipt of the issues for acting upon when found overdue. A check card will be prepared for each of the periodicals ordered. These cards will then be arranged in a tray behind Guide Cards indicating the expected week of its receipt. There will be 60 week guides in all, as there can be a maximum of 5 weeks in a month.

**The Classified Index Card:** This card shows the volumes available in the library in the case of each periodical. It also gives details about the supplements, cumulative indexes, etc. of the periodical. These cards, as their names imply, are arranged in a classified order according to the Class Numbers given to periodicals.

### 12.4.4 The Kardex System

Notes

This system was introduced by the Remington Rand of India, Ltd. It is a type of visible record system maintained in a steel filing cabinet. Each unit cabinet contains seven trays in all providing more than 500 card holders. Each card holder can hold two cards, a Bottom Card and a Top Card. A Bottom Card is prepared for every journal when ordered, with its title and other particulars typed or written on the lower portion of the card. The Top Card is placed opposite the Bottom Card in the next Card Holder so that both cards become visible side by side. It is the Top Card that serves the purpose of keeping record of payments made to the suppliers while the Bottom Card helps to watch out for the receipt and non-receipt of periodicals. The system provides for single codes of different colours to indicate the issues received and the subscription due, etc.

### 12.4.5 Display of Periodicals

Today, academic, public, research and special library professionals are searching for new ways to optimize space utilization and improve library ergonomics.

The periodicals section is the place where the needed information can be found in journals, magazines, newspapers and other serial literature. The open shelf system is adopted in this section. Readers have access to a wide range of magazines, newspapers and topics of relevant interest. Bound periodicals and back issues are arranged alphabetically by title. Current issues are properly displayed on the displayed racks. Periodicals and special display shelves ride on hinged shelves with back issues stored conveniently under the display. Optional Plexiglas covers are available to protect materials.

Collection in this section is for inside use only. Photocopying of materials may be requested. However, back issues may be borrowed for home use upon request and approval by the librarian-in-charge.

### Self Assessment

Fill in the blanks:

9. In the ..... system, the record is kept in the form of a bound register wherein each page is allotted to a periodical.
10. The ..... enables the library to know the issues received and the dates of their receipt.
11. .... contains columns for volume and number, due date, details of reminders, etc.
12. The ..... system was introduced by the Remington Rand of India, Ltd.

### 12.5 Types of Periodicals

Periodicals (also known as serials) are publications printed “periodically”. This means they are published daily, weekly, monthly, quarterly, or on an annual basis. The terms periodical, serial, magazine, and journal, are often used interchangeably; however, there are discernable differences among them. Regardless of how they are referred to, the most important thing you will need to know about periodicals is how to evaluate one type from another.



*Task* Compare and contrast between General and Scholarly Periodicals.

**Notes**

Listed below are some overall characteristics of different types of periodical publications to consider:

### 12.5.1 Academic/Scholarly/Refereed/Peer-reviewed Journals

Academic journals publish scholarly and peer-reviewed (also known as refereed) articles. The most important characteristic of scholarly articles that separates them from general or popular ones is that their data and information have been extensively checked and documented. If a scholarly article has been peer-reviewed, that means it has gone through a process in which a panel board of experts (usually other academics) have reviewed its contents and decided it was suitable for publication.



*Example:* Scholarly journals include JAMA, New England Journal of Medicine, Science and the Harvard Business Review.

**Other Characteristics:**

- Academic journals contain extensive, lengthy and detailed articles.
- Articles are written by specialists and experts doing original research within a particular field of study.
- Articles are reviewed and evaluated by other specialist in the field before they are published.
- Articles are intended for professors, researchers, students, and others in the academic community.
- Articles written in technical or professional language of the field.
- A bibliography is always given at the end of each article.
- Usually plain in appearance containing little if any advertisements.

### 12.5.2 Popular Periodicals

Popular periodicals do not cite their sources. While they are good sources for background material, you should not expect them to provide you with bibliographies or other cited works for additional reference.



*Example:* Popular periodicals include magazines like Time, Newsweek, US News and World Report, and Vogue.

**Other Characteristics:**

- Articles usually give a broad overview of a topic.
- The information provided is usually written in an informal and general way so that anyone can understand the subject matter.
- Articles are usually written by staff writers and other non-specialist.
- The main objective of these publications is entertainment, advertising, and the marketing of particular viewpoints.
- They usually contain colourful photographs, drawings, graphics and advertisements.
- They are often attractive in appearance.



- Most often they do not cite original sources and get their information second or third hand.

### 12.5.3 General Interest Periodicals/Magazine

General interest periodicals fall into a “gray area”. They often possess attributes of both popular and scholarly publications. If you want to use an article from a general interest publication as a cited source, it is always a good idea to first check with your instructor.



*Example:* General interest publications include National Geographic, The Economist, and Scientific American.

#### *Other Characteristics:*

- Articles may be written by staff writers or scholars within a particular field.
- They may or may not cite their sources.
- Articles are written in an intelligent manner for an educated audience, although they are not as academic as those found in scholarly journals.
- The main objective of this publication is to inform the reader about a particular topic in an intelligent but understandable manner.
- They tend to be attractive and heavily illustrated with photographs like popular magazines.

### 12.5.4 Sensational Publications

Sensational is defined as arousing or intending to arouse strong curiosity, interest or reaction. Sensational periodicals come in a variety of styles, but often use a newspaper format. Their language is elementary and occasionally inflammatory. They assume a certain gullibility in their audience. The main purpose of sensational magazines seems to be to arouse curiosity and to cater to popular superstitions. They often do so with flashy headlines designed to astonish.



*Example:* Sensational publications include The National Enquirer, Globe, Star, and Weekly World News.

#### *Other Characteristics:*

- The main objective of sensational journals is to entertain in a gossip like style, usually through an attention grabbing headline.
- They can be found in either newspaper or magazine format.
- The articles are never cited, and usually have no discernable author.

### 12.5.5 Trade Periodicals



*Example:* Trade periodicals include AdWeek, Modern Plastics, Advertising Age, Accounting Today.

Trade periodicals include current news, trends and products in a specific industry as well as practical information for professionals working in the field or industry.

Notes

*Other Characteristics:*

- Documentation of sources is not required, though sometimes brief bibliographies of further readings are included.
- Include jargon and terms that are commonly used in the profession or trade.
- Moderate number of advertisements targeted to the interests of the members of a profession, industry, or organization.
- Authors are members of the profession or trade, specialized journalists, or technical writers.
- Credentials are usually not provided.

**Self Assessment**

Fill in the blanks:

13. Academic journals publish scholarly and ..... articles.
14. .... contain extensive, lengthy and detailed articles.
15. General interest periodicals fall into a .....
16. .... include current news, trends and products in a specific industry as well as practical information for professionals working in the field or industry.



*Case Study*

**Document Library**

**The Problem**

The Production Support group for Blue Shield of California’s mylifepath.com needs to be able to answer questions about the website’s business-oriented functionality. They do this by consulting electronic documents written during software development projects large and small.

The documents the Production Support group consult have several relevant characteristics:

- They are authored by Microsoft Office programs like Word, Excel, PowerPoint, and Visio.
- Some are published as Adobe Acrobat PDF files.
- They are written by many different people.
- Typically these documents reside wherever project team members leave them across a variety of file servers and proprietary technologies like eRoom.
- The business-oriented documents are commingled with project only working papers and draft versions of the same documents.
- There is no consistency of appearance, content, and filenames.

The Production Support group needs quick and easy access to documents in a way that is free of software license issues and file access permission issues. Furthermore, they want to extend this access to the mylifepath developers and associated business staff.

*Contd...*

**The Solution**

The solution provides a single repository on a file server with two access paths: (1) a published catalogue containing metadata and a classification (taxonomy) of subject and content, and (2) a full-text search. A website establishes the library's presence and access to the published catalogue and search engine. It also provides a document submission tool that researchers can use to submit individual documents to the library administrators for consideration. A separate library administration application contains both the raw catalogue data and tools to audit and maintain the catalogue and repository.

**Some Key Features of the Document Library Notes**

- Administrators add documents to the library when they are deemed to meet the entrance criteria. Qualifying documents are copied into the library. Metadata and classification data are entered manually into the catalogue.
- Catalogue entries may be incomplete. This allows documents to be added to the library even when not all metadata and classifications are known. "Virtual" missing documents can also be added to the catalogue. They have no filename.
- Documents can be classified by a two-level subject and by two-level content. The taxonomy is populated to meet the needs of the library users and can easily be changed.
- Raw catalogue data is "published" at the discretion of the administrators.
- Library users open documents with hypertext links in the published catalogue and in the full-text search results list.
- The repository has only one level of subdirectories. A hierarchical directory structure is not used it is the catalogue that "organizes" the documents.
- The library avoids dependencies on standards and procedures.
- This document library uses simple technology free of seat licenses. It runs in a Windows NT/2000 environment. Its need for ongoing technical support is minimal.

**Questions**

1. Name the access paths of the single repository.
2. Describe the purpose of Document Library in technology.

*Source:* <http://www.findthatpdf.com/search-17247819-hPDF/download-documents-documentlibrarya casestudy.pdf.htm>

**12.6 Summary**

- Periodicals usually consist of a collection of articles, which may range from a single page story in a magazine to a 40 page study in a scholarly journal.
- In modern times, it is necessary for the collection manager or librarian to be prepared to deal with periodical/serial literature published in a variety of physical formats in addition to the traditional print on paper.
- The selection of periodicals for subscription, exchange or as gift is an important function of the library.
- Selection of periodicals will be more effective if specimen copies are available.

**Notes**

**Notes**

- Two different methods are available for ordering of periodicals. They are the direct subscription method and the agency method.
- Planning for the work of receiving periodicals has to do mainly with the methods for ensuring the prompt receipt and recording of the periodicals.
- In the Ledger System, the record is kept in the form of a bound register wherein each page is allotted to a periodical. On top of the page usually, details like the name of the periodical, its periodicity, the name of the publisher/sponsor, the name of the supplier, the amount and period of subscription paid, etc., are written.
- The Card System can overcome many of the disadvantages of the Ledger System.
- The Three Card System is a method where three different cards of the size 5" × 3" are maintained for each periodical. They are called the Register Card, the Check Card, and the Classified Index Card.
- The Kardex system is a type of visible record system maintained in a steel filing cabinet. Each unit cabinet contains seven trays in all providing more than 500 card holders.
- There are different types of periodical having different characteristics. Some of them are Academic/Scholarly/Refereed/Peer-reviewed Journals, Popular periodicals, General interest periodicals and Trade Periodicals.

### **12.7 Keywords**

**Bibliography:** Bibliography as a discipline is traditionally the academic study of books as physical, cultural objects.

**Kardex system:** Kardex system is a type of visible record system maintained in a steel filing cabinet.

**Peer-reviewed journals:** Peer-reviewed journals (also called refereed journals) are scholarly journals that only publish articles that have passed through this review process.

**Primary Journal:** A periodical which publishes papers or reports containing original research information so far not published elsewhere.

**Secondary Journal:** An indexing or abstracting or reviewing periodical which re-ports about the information published in primary journals.

**Standing vendor:** A standing vendor is one who is appointed as the authorized supplier to library for a specified time, generally for a year or two, under prescribed terms and conditions of supply.

**Subscription agent:** A subscription agent is a person or firm acting as a liaison between the subscribing library and the publishers.

**Trade periodicals:** Trade periodicals are the periodicals that include current news, trends and products in a specific industry as well as practical information for professionals working in the field or industry.

### **12.8 Review Questions**

1. What are periodicals?
2. Where are periodicals located in the library?
3. List the methods of ascertaining the demands for periodicals in a library.

4. Explain the types of periodicals and its characteristics.
5. Explain the periodical selection procedure.
6. State the various selection tools used by a library for periodical selection.
7. Explain the Card System.
8. Define the Kardex system of periodical recording.
9. Describe the process of recording the receipt of periodical publications.
10. Give in a tabular statement the advantages and disadvantages of ordering periodicals by direct subscription or through supply agencies.

Notes

### Answers: Self Assessment

- |                   |                        |
|-------------------|------------------------|
| 1. Periodicals    | 2. CD-ROM              |
| 3. Planning       | 4. Tender              |
| 5. Open purchase  | 6. direct subscription |
| 7. agency         | 8. Agents              |
| 9. The Ledger     | 10. Register Card      |
| 11. Check card    | 12. Kardex             |
| 13. peer-reviewed | 14. Academic journals  |
| 15. gray area     | 16. Trade periodicals  |

### 12.9 Further Readings



Books

C.K. Sharma, Kiran Singh. 01-Jan-2005. *Library Management (Vol 1)*, Atlantic Publishers & Distributors.

D.K. Pandey. Jan, 2004. *Library and Information Science*. Atlantic Publishers & Distributors.

Richard E. Rubin. Third Edition. *Foundations of Library and Information Science*. Neal-Schuman Publishers New York London.



Online links

<http://library.buffalo.edu/help/research-tips/evaluate/periodicals.html>

<http://envergalibrary.wordpress.com/services/ps/>

<http://www3.dbu.edu/library/periodicals.asp>

<http://www.andrews.edu/library/collections/policies/Periodicals.pdf>

## **Unit 13: Records and Reports**

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### **Objectives**

After studying this unit, you will be able to:

- Define library records
- Explain the various forms of Library records
- Define reports and features of a report
- Discuss the importance of reporting
- Describe Bibliographic Production and Maintenance

### **Introduction**

The principal records to be maintained in the Periodicals Department are those concerned with the payment of subscriptions and the receipt and registration of the current issues. The work in the department has a sufficient scope for the use of various forms and stationery. These have to be evolved from experience according to the needs of the individual library. A report or account is any informational work (usually of writing, speech, television, or film) made with the specific intention of relaying information or recounting certain events in a widely presentable form.

This unit will give you a clear understanding about the library records, importance of record keeping in a library and also the concept of reports. It also covers the idea of Reporting as a device for evaluation of Library Services and procedures, need of Annual report and its functions.

## **13.1 Library Records**

“Library record” means a record in any form that is maintained by a library and that contains any of the following types of information:

- Information that the library requires an individual to provide in order to be eligible to use library services or borrow materials;
- Information that identifies an individual as having requested or obtained specific materials or materials on a particular subject;
- Information that is provided by an individual to assist a library staff member to answer a specific question or provide information on a particular subject.

“Library record” does not include information that does not identify any individual and that is retained for the purpose of studying or evaluating the use of a library and its materials and services.

A library shall not release any library record or disclose any patron information except in the following situations:

1. If library record or patron information pertaining to a minor child is requested from a library by the minor child’s parent, guardian, or custodian, the library shall make that record or information available to the parent, guardian, or custodian in accordance with division (B) of section 149.43 of the Revised Code.
2. Library records or patron information shall be released in the following situations:
  - (a) In accordance with a subpoena, search warrant, or other court order;
  - (b) To a law enforcement officer who is acting in the scope of the officer’s law enforcement duties and who is investigating a matter involving public safety in exigent circumstances.
3. Library record or patron information shall be released upon the request or with the consent of the individual who is the subject of the record or information.
4. Library records may be released for administrative library purposes, including establishment or maintenance of a system to manage the library records or to assist in the transfer of library records from one records management system to another, compilation of statistical data on library use, and collection of fines and penalties.
5. A library may release under division (B) of section 149.43 of the Revised Code records that document improper use of the internet at the library so long as any patron information is removed from those records. As used in division (B) (5) of this section, “patron information” does not include information about the age or gender of an individual.

### **13.1.1 Forms of Library Records**

The Technical Department does not have to maintain any register unlike other departments. However, it has the use of other appropriate records, forms and stationery. Mention was made earlier about the covering letters to be used in order placing work. Similarly, letters inviting quotations and invoices, letters asking for clarifications and further information, letters of reminder, etc., can be standardised and printed forms can be used to save time and money.

The major records are the Catalogue, the Shelf-list and the Authority File. Further, there is the Work Diary and the necessary routine files.

**Notes**

**Catalogue:** The Catalogue is a search and discovery tool that provides results from the library’s online and print collections in a single search. It includes titles of printed books, journals, manuscripts, letters, and other material available at the libraries as well as links to the full-text of millions of, mainly, English journal articles and digital images of prints and manuscripts. The most important record of the department is the Catalogue itself. But this is kept in the library for public use. The catalogue will have to be frequently referred to by the staff in the Technical Department. Hence, some libraries prefer to maintain a copy of the public catalogue in the Technical Department for its own use. But this involves more work, expenditure and space.


**Shelf-list:** It is a list of the books in a library in the order of their location: distinct from the accessions list and the author and subject catalogues. Shelf-list is a file of bibliographic records arranged by call number, i.e. entries are arranged in the same order as materials on the shelves. The Shelf-list is maintained by the Technical Department under safe custody. The Shelf-list is in card form and the cabinets containing the Shelf-list occupy substantial space in the Technical Department.

To shelf-list an item in an online environment is to ensure that the call number assigned to a particular manifestation of a work (i.e., an “edition”) is (a) unique and (b) maintains the integrity of the file, i.e. the file arrangement follows a predictable order.

One particularly important aspect of file integrity involves collocation (bringing together related items). Collocation is a fundamental principle of bibliographic control, the underlying rationale behind authority work, classification, subject assignments, choice of entry, and so on. In shelf-listing, the principle is most evident in the practice of keeping editions and translations together on the shelf, but is not restricted to these.

**Authority File:** The Authority File is another card file to be maintained in the Technical Department. It is a file, either on cards or in machine-readable format, in which decisions involving bibliographic records, particularly for form of entry, are recorded to establish a precedent or rule for subsequent decisions and to provide for consistency of entries.

**Work Diary:** There is need for maintaining proper work diaries in the Technical Department. Work diaries can be maintained at two levels, for an individual staff member, and for the department as a whole. The work diary for the department can be written on a daily or weekly basis and consolidated later on a monthly or annual basis for statistical reporting as well as for work evaluation purposes. The following can be accounted for through the work diary of the Technical Department.



*Task* Within a group discuss on the topic “The use of Shelf List in 21<sup>st</sup> century”.

**Self Assessment**

Fill in the blanks:

1. The ..... will have to be frequently referred to by the staff in the Technical Department.
2. .... is a file of bibliographic records arranged by call number, i.e. entries are arranged in the same order as materials on the shelves.
3. The ..... is another card file to be maintained in the Technical Department.
4. .... can be maintained at two levels, for an individual staff member, and for the department as a whole.





Caselet

### The Library's Need for an Electronic Recordkeeping System

**A**s the volume of electronic records increases, the Library should weigh the costs and benefits of implementing an electronic recordkeeping system. Therefore, it is recommended that the Library conduct a cost/benefit analysis of an electronic recordkeeping system. Records management includes the planning, controlling, directing, organizing, training, promoting, and other managerial activities involved in records creation maintenance, and use. Additionally, it involves disposals and transfers of record materials to achieve adequate and proper documentation of the policies and transactions of the federal government and effective and economical management of an agency's operations.

The volume of electronically generated records such as email and word processing documents is increasing rapidly. Electronic records present a records management challenge for the Library because they are created and maintained in a largely decentralized way. Electronic recordkeeping responsibilities are frequently overlooked by employee. Moreover, electronic records can easily be deleted without leaving an obvious trail.

Source: <http://www.loc.gov/about/oig/reports/2010/rpt2010marchrecordsmgmtpgm.pdf>

## 13.2 Report

A report or account is any informational work (usually of writing, speech, television, or film) made with the specific intention of relaying information or recounting certain events in a widely presentable form.

Written reports are documents which present focused, salient content to a specific audience. Reports are often used to display the result of an experiment, investigation, or inquiry. The audience may be public or private, an individual or the public in general. Reports are used in government, business, education, science, and other fields.

Reports use features such as graphics, images, voice, or specialized vocabulary in order to persuade that specific audience to undertake an action. One of the most common formats for presenting reports is IMRAD: Introduction, Methods, Results and Discussion. This structure is standard for the genre because it mirrors the traditional publication of scientific research and summons the ethos and credibility of that discipline. Reports are not required to follow this pattern, and may use alternative patterns like the problem-solution format.

Additional elements often used to persuade readers include: headings to indicate topics, to more complex formats including charts, tables, figures, pictures, tables of contents, abstracts, and nouns summaries, appendices, footnotes, hyperlinks, and references.

Reports are very important in all their various forms along with the usual evidences like in a crimes scene people usually leave behind evidences. They fill a vast array of critical needs for many of society's important organizations. Police reports are extremely important to society for a number of reasons. They help to prosecute criminals while also helping the innocent become free. Reports are a very useful method for keeping track of important information. The information contained in reports can be used to make very important decisions that affect our lives daily.

## Notes



*Example:* Scientific reports, recommendation reports, white papers, annual reports, auditor's reports, workplace reports, census reports, trip reports, progress reports, investigative reports, budget reports, policy reports, demographic reports, credit reports, appraisal reports, inspection reports, military reports, bound reports, etc.

### 13.2.1 Importance of Reporting

Report literature is an important primary source of information, particularly for a research library. This new medium for communication of information came into being during World War II due to scarcity of paper, restrictions in distribution, and delay in bringing out periodicals. Reports not only solved the problems then, but proved quite useful to be continued after the war.

Reports originate in various research organizations and government departments and appear in a wide variety. Most of them report about research and development projects, in progress or completed. They may present quick preliminary information about the work in progress; or they may give complete information about the work just completed. In some subjects, such as nuclear science and aeronautics, a good amount of literature is available in the form of reports.

Technical reports may be issued ad hoc or in series periodically. Even in India, several institutions publish reports. National Aerospace Laboratories, Bangalore, publishes several reports every year. It may be said to be a nascent, unedited, non-formalised presentation of findings with a considerable amount of usage of jargon, acronyms, abbreviations, etc.



*Example:* NASA reports, EURATOM reports, EEC reports, etc.



*Notes* A special characteristic of a report is that it contains details of the project and includes a large amount of data. Information in reports is generally meant for internal audience.

### 13.2.2 Features of a Report

Following are the main features of a report:

1. **Complete and Compact Document:** Report is a complete and compact written document giving updated information about a specific problem.
2. **Systematic Presentation of Facts:** Report is a systematic presentation of facts, figures, conclusions and recommendations. Report writers closely study the problem under investigation and prepare a report after analysing all relevant information regarding the problem. Report is supported by facts and evidence. There is no scope for imagination in a report which is basically a factual document.
3. **Prepared in Writing:** Reports are usually in writing. Writing reports are useful for reference purpose. It serves as complete, compact and self-explanatory document over a long period. Oral reporting is possible in the case of secret and confidential matters.
4. **Provides Information and Guidance:** Report is a valuable document which gives information and guidance to the management while framing future policies. It facilitates planning and decision making. Reports are also useful for solving problems faced by a business enterprise.

5. **Self-explanatory Document:** Report is a comprehensive document and covers all aspects of the subject matter of study. It is a self-explanatory and complete document by itself.
6. **Acts as a Tool of Internal Communication:** Report is an effective tool of communication between top executives and subordinate staff working in an organization. It provides feedback to employees and to executives for decision making. Similarly, reports are also sent by company executives to the lower levels of management. This is treated as downward communication. In addition, reports are also sent to shareholders and others connected with the company. It may be pointed out that report writing/preparation acts as a backbone of any system of communication.
7. **Acts as Permanent Record:** A report serves as a permanent record relating to certain business matter. It is useful for future reference and guidance.
8. **Time Consuming and Costly Activity:** Report writing is a time consuming, lengthy and costly activity as it involves collection of facts, drawing conclusion and making recommendations.

Notes



*Did u know?* Reports are generally submitted to higher authorities. It is an example of upward communication.

## Self Assessment

Fill in the blanks:

5. Reports are often used to display the result of an experiment, ....., or inquiry.
6. IMRAD stands for .....
7. .... is an effective tool of communication between top executives and subordinate staff working in an organization.

## 13.3 Bibliographic Production and Maintenance

Bibliographic description is the process of recording details for describing and identifying bibliographic items. The process of bibliographic description requires standardisation, for making bibliographic file to be consistent. The development of national, international and regional systems for the exchange of machine readable bibliographic information will not be possible unless a high level of standardisation is attained. A standard related to bibliographic description is a set of general rules agreed to internationally or nationally. The practice of standard bibliographic description in the development of library catalogues and bibliographic databases requires a series of operations. The identification of these unit operations leads to the formulation of principles of bibliographic description and general rules of procedures. The principles and general rules of bibliographic description provide a scientific basis to the field of cataloguing and to the creation of bibliographic records. The application of ICT to the cataloguing process has brought with it demands for precision and logic in the recording of bibliographic data. For bibliographic control, the first principle is standardisation, compatibility and integration. Within the same principle standards may vary. Easy interchange of bibliographic records requires agreement on standards governing the medium of exchange.

Bibliographic data are generated by bibliographers, cataloguers, abstractors & indexers, publishers & booksellers and appear in a range of products, including but not limited to library catalogues, online databases, publishers & booksellers lists, abstracting & indexing services and bibliographies. The nature of bibliographic and cataloguing data appears to be identical, but

**Notes**

bibliographic data have an independent existence and need separate consideration. Cataloguing, in fact, is one of the many applications of bibliographic data management. Haggler and Simmons define bibliographic data as “elements of information, which help to identify a piece of recorded communication as a physical object”. They identified three types of functional data groups:

- Data that uniquely identify a particular document and distinguish it from others;
- Data, which reveal an association of two or more documents (e.g., common authorship, continuation or reprint); and
- Data, which describe some characteristics of the intellectual content of a document (e.g., statement of subject).

Organisation of bibliographic data elements leads to the creation of bibliographic records. Bibliographic record has been defined as the sum of all the areas and elements, which may be used to describe, identify or retrieve any physical item of information content. Bibliographic description is the assemblage of data elements sufficient to identify a bibliographic item and to distinguish it from others. In manual systems (e.g., card catalogue), a collection of bibliographic data elements are grouped under the main access points or headings as per the cataloguing code in use. Such record of an item in a catalogue is called an ‘Entry’. Entries are usually identified by the kind of access they provide e.g., ‘author entry’ or ‘subject entry’. The distinction between bibliographic record and entry is most visible in computerised environment where the master bibliographic record is stored in the machine and computer programmes generate entries from it.

Dempsey identified three groups of bibliographic dataset – bibliographic description and control data (data describing, identifying and providing controlled access to items), subject data and content description. The first two groups of data generally appear in library catalogues and bibliographic databases. They include:

- Data naming an item (e.g., title, alternative title);
- Data naming persons or bodies connected with the creation of an item (e.g., author, artist, cartographic agency);
- Data describing hierarchical, lateral or lineal relationships between items (e.g., component part, host item, numbering in series, companion item, name of earlier edition or version);
- Data indicating intellectual content (e.g., subject heading, abstract);
- Data naming persons or bodies connected with the production of an item as a physical object (e.g., publisher, designer);
- Data indicating form or nature of item (e.g., bibliography, documentary, novel);
- Data indicating mode of expression or communication (e.g., verbal, pictorial);
- Data describing the physical appearance, characteristics and constituents of an item (e.g., map, film, dimensions, number of volumes or parts, technical information needed for use); and
- Data assigned by a bibliographic or other agency for purpose of identification and control (e.g., ISBN).

The above list shows that bibliographic description deals with two categories of data – data providing access and data describing items. The level and extent of bibliographic description depends on the application and purpose of bibliographic records. The major application domains are the production or creation of:

- Authoritative national records and national bibliography;

- Bibliographic records for international exchange;
- Bibliographic records for cooperative systems;
- Records for use in individual libraries;
- Records for abstracting and indexing services;
- Records for subject bibliographies/authors' bibliographies;
- Records for use in online information retrieval systems (including WWW); and
- Records in book trade.

Bibliographic record may be viewed as a package of data, the content of which varies according to the different needs and purposes for which it is intended. The selection and inclusion of data elements for the bibliographic record must be based on user needs. The aggregate of data in a bibliographic record are broadly divided into following groups:

- Descriptive data elements (as defined in the ISBDs);
- Data elements used in headings for persons, corporate bodies, titles and subjects. They function as filing devices or index entries;
- Data elements used to organise a file or file of records (such as classification numbers, abstracts, summaries or annotations); and
- Data specific to the copies of the library collections (such as accession numbers and call numbers).

Bibliographic record should be constructed according to the agreed rules and standards. There are many widely used standards for constructing bibliographic records (e.g., AACR2 for national bibliographies or library catalogues) but the most striking contribution has been made by IFLA, with its programme of ISBDs. ISBD (G) [General International Standard Bibliographic Description] is intended to provide the generalised framework for descriptive information required in a range of different bibliographic activities. The bibliographic data elements which are required for this purpose are set out in eight areas: Title and statement of responsibility – Edition – Material specific data – Publication, distribution data – Physical description – Series – Notes – Standard number and terms of availability.

Each of these areas is further divided into discrete elements. The elements are cited in given order and separated by the punctuation prescribed. The complete set of ISBD data is sufficient to ensure identification of bibliographic item and many cataloguing codes (including AACR2) have adopted ISBD (G) as a basis for their own rules for description. The family of ISBDs (includes standard for cartographic materials, non-book materials, printed music, antiquarian books, monographs, serials and other continuing materials and electronic resources) is utilised for the purpose of bibliographical description but the choice and form of access points are based on the Paris Principles (the statement of principles adopted at the International Conference on Cataloguing Principles held in Paris in 1961) adopted in national cataloguing rules. Bibliographic formats (such as MARC family, CCF, UNIMARC, etc.) have also applied ISBDs as base format.

But cataloguing codes and bibliographic formats cannot represent all the characteristics of different digital information resources. As a result various general and domain specific metadata schemas (such as Dublin Core, FGDC, ONIX, GILS, etc.) have been developed for description of electronic resources.

Ranganathan applied scientific method to cataloguing and result was the formulation of normative principles of cataloguing, called Canons of Cataloguing. Prof. G. Bhattacharya mapped

**Notes**

these principles to the unit operations in cataloguing. The general principles for standards for bibliographic description are as follows:

1. **Principle of Context:** It determines the situational contexts required for specifying the elements of bibliographic description and their role
2. **Principle of Permanence:** It says no element in an entry, the heading in particular, should be subjected to change unless rules themselves are changed in response to the principle of context
3. **Principle of Consistency:** It says bibliographic description should be consistent for bibliographic records
4. **Principle of Unity of Idea:** It advocates structural design for cataloguing codes and standards for bibliographic description.


Principles of bibliographic description are guidelines for the design of a set of rules to manage bibliographic data. In ordinary usage, these two concepts (principle and rule) are used many a time interchangeably. In fact, principles guide the creation of rules and thereby distinct from bibliographic objectives and bibliographic rules. The term 'principle' is used to refer to a proposition or other formulation, usually generalised and with one or more of the following attributes:

- It may be a statement of fact;
- It may be accepted as true or helpful;
- It may form the basis for deriving another proposition with one or more of the attributes of the basis proposition;
- It may provide a basis for reasoning or evaluation; and
- It may guide the formulation of a proposition prescribing a procedure for fulfilling a particular purpose.

**Self Assessment**

Fill in the blanks:

8. The process of bibliographic description requires....., for making bibliographic file to be consistent.
9. The nature of bibliographic and ..... appears to be identical.
10. .... is one of the many applications of bibliographic data management.
11. .... has been defined as the sum of all the areas and elements, which may be used to describe, identify or retrieve any physical item of information content.
12. ISBD stands for .....



*Case Study*      **Noida Library System**

**N**oida Public Library is the biggest library in Noida. Currently it has about 300 members. A person who is 18 or above can become a member here. There is a membership fee of ₹ 400 for a year. There is a form to be filled in which person

*Contd...*

## Notes

fills personal details. These forms are kept in store for maintaining members' records and knowing the membership period.

A member can issue a maximum of three books. He/she has three cards to issue books. Against each card a member can issue one book from library. Whenever a member wishes to issue a book and there are spare cards, then the book is issued. Otherwise that request is not entertained. Each book is to be returned on the specified due date. If a member fails to return a book on the specified date, a fine of ₹ 2 per day after the due return date is charged. If in case a card gets lost then a duplicate card is issued. Accounts are maintained for the membership fees and money collected from the fines. There are two librarians for books return and issue transaction. Approximately 100 members come to library daily to issue and return books.

There are 5000 books available out of which 1000 books are for reference and cannot be issued. Records for the books in the library are maintained. These records contain details about the publisher, author, subject, language, etc. There are suppliers that supply books to the library. Library maintains records of these suppliers.

Many reports are also produced. These reports are for details of the books available in the library, financial details, members' details, and supplier's details.

Currently all functions of the library are done manually. Even the records are maintained on papers. Now day by day members are increasing. Maintaining manual records is becoming difficult task. There are other problems also that the library staff is facing. Like, in case of issue of duplicate cards to a member when member or library staff loses the card. It is very difficult to check the genuinity of the problem.

Sometimes the library staff needs to know about the status of a book as to whether it is issued or not. So to perform this kind of search is very difficult in a manual system.

Also management requires reports for books issued, books in the library, members, and accounts. Manually producing the reports is a cumbersome job when there are hundreds and thousands of records.

Management plans to expand the library, in terms of books, number of members and finally the revenue generated. It is observed that every month there are at least 50-100 requests for membership. For the last two months the library has not entertained requests for the new membership as it was difficult to manage the existing 250 members manually. With the expansion plans, the management of the library aims to increase its members at the rate of 75 per month. It also plans to increase the membership fees from 400 to 1000 for yearly and 500 for half year, in order to provide its members better services, which includes increase in number of books from 3 to 4.

Due to the problems faced by the library staff and its expansion plans, the management is planning to have a system that would first eradicate the needs of cards; a system to automate the functions of record keeping and report generation. And which could help in executing the different searches in a faster manner. The system is to handle the financial details.

### Questions

1. How does the library maintain the records?
2. Comment on the basic problem with the Noida Library system and give your recommendations to resolve the problems.

Source: [http://www.uobabylon.edu.iq/eprints/pubdoc\\_10\\_30250\\_1424.doc](http://www.uobabylon.edu.iq/eprints/pubdoc_10_30250_1424.doc).

### **13.4 Summary**

- Library record means a record in any form that is maintained by a library that contains information regarding the library staff and library material.
- Library records may be released for administrative library purposes, including establishment or maintenance of a system to manage the library records.
- A report or account is any informational work made with the specific intention of relaying information or recounting certain events in a widely presentable form.
- Report literature is an important primary source of information, particularly for a research library.
- Bibliographic description is the process of recording details for describing and identifying bibliographic items.
- For bibliographic control, the first principle is standardisation, compatibility and integration.
- Bibliographic record should be constructed according to the agreed rules and standards.
- Ranganathan applied scientific method to cataloguing and result was the formulation of normative principles of cataloguing, called Canons of Cataloguing.

### **13.5 Keywords**

**Authority file:** It is a file, either on cards or in machine-readable format, in which decisions involving bibliographic records, particularly for form of entry, are recorded to establish a precedent or rule for subsequent decisions and to provide for consistency of entries.

**Bibliographic Description:** Bibliographic description is the process of recording details for describing and identifying bibliographic items.

**Catalogue:** The Catalogue is a search and discovery tool that provides results from the library's online and print collections in a single search.

**Collocation:** Collocation is a fundamental principle of bibliographic control, the underlying rationale behind authority work, classification, subject assignments, choice of entry, and so on.

**ISBN:** The ISBN (International Standard Book Number) is a unique number assigned to a book title by its publisher for tracking and ordering purposes. An example is: ISBN 0-385-49531-5, which is the ISBN for Simon Singh's *The Code Book*, a book about cryptography.

**Report:** A report or account is any informational work (usually of writing, speech, television, or film) made with the specific intention of relaying information or recounting certain events in a widely presentable form.

**Shelf List:** Shelf list is a list of the books in a library in the order of their location: distinct from the accessions list and the author and subject catalogues.

**Written Reports:** Written reports are documents which present focused, salient content to a specific audience.

### **13.6 Review Questions**

1. Define library records.
2. Explain the various forms of Library records.



3. Define reports.
4. List the various features of a report.
5. Discuss the importance of reporting.
6. Describe Bibliographic Description.
7. What are bibliographic records?
8. Define ISBN.
9. What is cataloguing?
10. Explain the general principles for standards for bibliographic description.

Notes

### Answers: Self Assessment

- |  |                    |
|--|--------------------|
| 1. Catalogue   | 2. Shelf-list      |
| 3. Authority File                                    | 4. Work diaries    |
| 5. Investigation                                     |                    |
| 6. Introduction, Methods, Results and Discussion.    |                    |
| 7. Report  | 8. Standardization |
| 9. cataloguing data                                  | 10. Cataloguing    |
| 11. Bibliographic record                             |                    |
| 12. International Standard Bibliographic Description |                    |

### 13.7 Further Readings



Books

C.K. Sharma, Kiran Singh. 01-Jan-2005. *Library Management (Vol 1)*, Atlantic Publishers & Distributors.

D.K. Pandey. Jan, 2004. *Library and Information Science*. Atlantic Publishers & Distributors.

Richard E. Rubin. Third Edition. *Foundations of Library and Information Science*. Neal-Schuman Publishers New York London.



Online links

<http://www.olc.org/AccountingHandbook/LibraryAccountingHandbook4thedition82608.pdf>

<http://kalyan-city.blogspot.com/2010/11/what-is-report-meaning-features-or.html>

<http://www.loc.gov/about/oig/reports/2010/rpt2010marchrecordsmgmtpgm.pdf>

<http://codes.ohio.gov/orc/149.432>

<http://practicallibrarian.blogspot.in/2010/05/why-you-should-love-your-shelf-list.html>

## Unit 14: Library Statistics

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14.4 Statistical Methods

14.5 Scope of Library Statistics

14.6 Summary

14.7 Keywords

14.8 Review Questions

14.9 Further Readings

### Objectives

After studying this unit, you will be able to:

- Understand the history of Statistics
- Give an overview of Statistics
- Describe the characteristics of Statistics
- Discuss the sources of Library Statistics
- Describe the scope of Library Statistics
- Understand the various statistical Methods

### Introduction

Statistics is the study of how to collect, organize analyse, and interpret numerical information from data. Descriptive statistics involves methods of organizing, picturing and summarizing information from data. Inferential statistics involves methods of using information from a sample to draw conclusions about the population.

#### *Keep in Mind:*

- Statistical inferences are no more accurate than the data they are based on (weakest link).
- Statistical results should be interpreted by one who understands the methods used as well as the subject matter.

## 14.1 History of Statistics

The Word statistics have been derived from Latin word "Status" or the Italian word "Statista", meaning of these words is "Political State" or a Government. Shakespeare used a word Statist in his drama Hamlet (1602). In the past, the statistics was used by rulers. The application of statistics was very limited but rulers and kings needed information about lands, agriculture, commerce, population of their states to assess their military potential, their wealth, taxation and other aspects of government.

Gottfried Achenwall used the word statistik at a German University in 1749 which means that political science of different countries. In 1771 W. Hooper (Englishman) used the word statistics in his translation of Elements of Universal Erudition written by Baron B. F. Bieford, in his book. Statistics has been defined as the science that teaches us — what is the political arrangement of all the modern states of the known world.

During the 18th century the English writers have used the word statistics in their works, so statistics has developed gradually during last few centuries. A lot of work has been done in the end of the nineteenth century.

At the beginning of the 20th century, William S. Gosset was developed the methods for decision making based on small set of data. During the 20th century several statistician are active in developing new methods, theories and application of statistics. Now these days the availability of electronics computers is certainly a major factor in the modern development of statistics.



*Notes* There is a big gap between the old statistics and the modern statistics, but old statistics also used as a part of the present statistics.

### 14.1.1 Overview of Statistics

By the 18th century, the term "statistics" designated the systematic collection of demographic and economic data by states. In the early 19th century, the meaning of "statistics" broadened to include the discipline concerned with the collection, summary, and analysis of data. Today statistics is widely employed in government, business, and all the sciences. Electronic computers have expedited statistical computation, and have allowed statisticians to develop "computer-intensive" methods.

The relation between statistics and probability theory developed rather late, however. In the 19th century, statistics increasingly used probability theory, whose initial results were found in the 17th and 18th centuries, particularly in the analysis of games of chance (gambling). By 1800, astronomy used probability models and statistical theories, particularly the method of least squares, which was invented by Legendre and Gauss. Early probability theory and statistics was systematized and extended by Laplace; following Laplace, probability and statistics have been in continual development. In the 19th century, statistical reasoning and probability models were used by social scientists to advance the new sciences of experimental psychology and sociology, and by physical scientists in thermodynamics and statistical mechanics. The development of statistical reasoning was closely associated with the development of inductive logic and the scientific method.

Statistics can be regarded as not a field of mathematics but an autonomous mathematical science, like computer science and operations research. Unlike mathematics, statistics had its origins in public administration. It is used in demography and economics. With its emphasis on learning from data and making best predictions, statistics has a considerable overlap with decision

**Notes**

science and microeconomics. With its concerns with data, statistics has overlap with information science and computer science.



*Notes* The term “mathematical statistics” designates the mathematical theories of probability and statistical inference, which are used in statistical practice.

**Self Assessment**

Fill in the blanks:

1. By the 18th century, the term “statistics” designated the systematic collection of ..... and economic data by states.
2. .... can be regarded as not a field of mathematics but an autonomous mathematical science.



*Caselet*

**Global Library Statistics**

**T**hese statistics that represent the total global library universe include data, if available, for the total number of libraries, librarians, volumes, expenditures, and users for every country and territory in the world broken down into the major library types: academic, public, school, special and national. It is important to remember that these figures do not represent OCLC membership. The statistics also include available data for languages used, and the number of library schools, publishers, and museums.

The three regions represent those used by the OCLC Global and Regional Councils: the Americas (North and South America), EMEA (Europe, the Middle East, Africa, and India), and Asia Pacific (Asia, Australia and Oceania).

The Global Library Statistics were developed from an earlier OCLC Research prototype.

*Source:* <http://www.oclc.org/global-library-statistics.en.html>

**14.2 Characteristics of Statistics**

Statistics is usually not studied for its own sake; rather it is widely employed as a highly valuable tool in analysis of problem in nature, physical and social sciences. The word statistics convey a variety of meaning to people, when it is used in different context. Horace Secrist defines statistics as “aggregates of facts, affected to a mankind extent by multiplicity of causes, numerically expressed, enumerated or estimated according to reasonable standards of accuracy, collected in a systematic manner for a predetermined purpose and placed in relation to each other”.

According to Freund and William as mentioned in “Modern Business Statistics”, “Statistics in general are nothing but a refinement of everyday thinking. They are especially appropriate for handling data which are subject to variation that cannot be fully controlled by experimental method and for which we can have only a fraction of the totality of observation which may exist”.

The definition of the term statistics includes the following, and in its absence of these characteristic any numerical data cannot be called statistics:

1. Statistics are aggregate of facts.
2. Statistics are affected to a marked extent by multiplicity of causes.
3. Statistics are numerically expressed.
4. Statistics are enumerated or estimated according to reasonable standards of accuracy.
5. Statistics are collected in a systematic manner.
6. Statistics are collected for a predetermined purpose.
7. Statistics should be placed in relation to each other.

### Self Assessment

Fill in the blanks:

3. Statistics in general are nothing but a ..... of everyday thinking.
4. Statistics are affected to a marked extent by multiplicity of .....

### 14.3 Sources of Library Statistics

Statistics, or numerical data that has been collected, organized and interpreted in some way, exist on a wide variety of subjects, including health, weather, crime, population characteristics, labour and employment, to name only a few. This pathfinder will help you find statistical information that is available in print publications and on the Web, with a focus on locating statistical information produced by the United States Government.

The United States government is the largest producer and publisher of statistical information. Federal Government agencies produce statistics in the course of research, program management, making forecasts and projections, and as a daily part of their administrative functions. Government produced statistics are used by government agencies and the public at large.

A word of caution about using statistics: In order to understand the meaning of the statistics you have found, and use them appropriately, you should check several things: from where the numbers came (the "source"); how the numbers were collected (sometimes given in a footnote); what date range the statistics cover (usually different than the date the statistics were published); and who collected the data (how reliable is the agency or group who collected and analysed the numbers in order to come up with the statistics).

Information resources are of two kinds, namely, Documentary and Non-documentary sources of information.

#### 14.3.1 Sources of Documentary Information

A document constitutes embodied thought which is a record of work on paper or other material fit for physical handling, transport across space and preservation through time. It may include manuscripts, handwritten and engraved materials including printed books, periodical, microform, photograph, gramophone records, tape records, etc. The recent advances in science and technology help originate another kind of document i.e. computer readable forms that includes C.D., DVD, pen drive, hard disk, web resources etc. All documents are the records of human observation

**Notes**

and thought and in its creation direct human intervention is necessary. They provide some information to its readers or users. A library as a gateway of knowledge provides access to a variety of such documentary sources of information.

The sources of documentary information can also be termed as an information product. It is generated out of a service to be provided to the user. It is a kind of consolidation and presentation process giving tangibility to information.

**Classification of Documentary Sources of Information:** Different authors classified the documentary sources of information into different categories. Some popular classifications are listed below:

**Primary:** The primary documents exist of their own and usually contain original information on the first formulation of any new observation, experiment, ideas, etc. Thus, according to C. W. Hanson, a monograph, an article in periodical, text book, and encyclopaedia are all primary documents. An article in encyclopaedia or text book may not contain any new information on the subject but it presents the information in the particular form for the first time. The articles concerned are not a condensation or rewriting in any way of any existing document but has been written specifically for the text book or the encyclopaedia.

**Secondary:** All secondary publications present the contents of primary document in a condensed form or list them in a helpful way so that the existence of a primary document can be known and access to it can be made.

**Primary / Secondary Sources of Information:** Conference proceedings, theses and dissertations, monographs, etc. have the characteristics of both primary and secondary sources of information. Those of documents representing new facts can be regarded as primary publication and those having the character of reviews can be grouped as secondary publication. As a result of such mixing of primary and secondary sources of information some expert doesn't consider this division to be much practical utility.

Eventually there is no rigid line of demarcation between primary, secondary and tertiary sources of information.

**S. R. Ranganathan Classification:** Based on the physical characteristics of documents S. R. Ranganathan classified documentary sources of information into four categories. These also reflect the chronological order of their development. They are:

- **Conventional:** Books, periodicals, Map, etc.;
- **Neo Conventional:** Standards, specification, patent, etc.;
- **Non-conventional:** Audio visual, micro copy, etc.;
- **Meta Document:** Direct records unmediated by human mind.

**Types of Documentary Sources of Information:** The documentary sources of information can be of the following types:

1. **Newspaper:** Newspapers are usually published as dailies or weeklies. The type of paper they are printed on, called newsprint is not meant to last. They are usually preserved on microfilm for this reason. Libraries usually keep paper copies of newspapers until the microfilm copies arrive. Nowadays many newspapers are available on the Internet, some for free, and others by subscription.
2. **Periodical:** Periodicals are issued at intervals and numbered consecutively. They are given volume designations, several issues making up a volume. Periodicals include journals and magazines.

- (a) *Journal*: Journal is a scholarly publication devoted to disseminating current information about research and developments in a specific field or subfield of human knowledge. Journal is usually regularly published at interval. Most journal articles are long and include a paragraph at the beginning, called an abstract which summarizes the main points of the article and at the end a bibliography or list of works cited. The writings of the journals are most often peer-reviewed.
- (b) *Magazine*: The magazine usually refers to the non-scholarly publications written for an educated audience and contains popular reading.
3. **Reprint**: Once an article is published in a journal additional copies are taken out separately and provided to the author. A fixed number is generally supplied free of charge. Additional copies are supplied at a cost; these copies are known as reprints and used for exchange with other scientists working in the same field.
4. **House Journal**: It is a publication issued by an organization to inform the public of its performance and style of function and also to know the reaction, opinions of its public. Generally house journals are of two types:
- (a) *External House Journals*: The external house journal is meant for the external audience of an organization. The external audience of an organization refers to those who do not work under the roof of the organization, but are interested in it.
- (b) *Internal House Journal*: Internal house journals are meant for the employees under the roof of an organization. Broadly speaking, it aims to inform and educate the employees of all levels about the organization's activities, functions, etc.
5. **Newsletter**: Newsletter is a publication issued by an organization often simple in format and crisp in style to provide speedy information for a definite audience. Newsletters are always issued regularly and have a short life span. It is a modest publication containing limited pages says four to eight and a few pictures and illustrations. Generally, the organizations that do not go for house journals find a good substitute in newsletters. While some newsletters are intended for the employees, others are meant for the external public.
6. **Patents**: A patent presents a detailed account of a new manufacturing process or improvement of an existing process, a new product, a new method of testing and control etc. Generally, when some kind of invention is made the manufacturer wants to protect his invention and the patent offices in various countries on the request of the manufacturer generally issue the patent, which provides an exclusive right to the manufacturer on the invention. It takes the form of an official document having the seal of the government attached to it, which confers an exclusive privilege or right over a period of time to the proceeds of an invention.
7. **Standards**: Standards are units or measures in terms of weight, size, length, quality, composition, process of production, etc., established by National and International Organizations. Standards are often finalized through testing, research, and study and prescribe the accepted quality or performance value of a product.
8. **Research Report**: Research reports are published as part of the annual report of an organization or as a separate report published at periodical intervals by individual and agencies that obtain research grants and have to produce them as a condition of such grants. The research reports are generally produced in limited number of copies and the distribution is also restricted and controlled.
9. **Trade and Product Bulletin/Journal**: Trade journals contain primary articles but of the nature of applied research. It contains the particulars of goods manufactured by or sold by

Notes

- a firm. Frequently illustrated and containing prices, it also often contains application oriented description rather than theoretical description. These are published by Research and Development Organizations, Trade Associations etc. The original objectives of all trade journals are product advertisement. The complete description, principles and working of a newly developed and highly sophisticated instrument may for quite time be available only in the manufacturer trade journals. E.g.: International Product Finder. Bombay: Business press.
10. **Conference Proceedings:** Many conference proceedings present new findings or results of work for the first time or at least months before they are published in scientific journals. Sometimes, conference proceedings also include questions from participants and answers and clarifications from the authors of the papers. The conference proceedings generally contain the statement of objectives, opening address or presidential address, list of participants or conference's who's who, resolutions or recommendations, etc.
  11. **Thesis and Dissertation:** Thesis and dissertation are the results of purely academic pursuit. It reports some original work in a specific field. Among all the primary sources of information thesis and dissertation are probably least used mainly because their existence is not known in many cases and also due to the limited number of copies of the document.
  12. **Treatise:** A treatise provides an exhaustive treatment of a broad subject. It is encyclopaedic in coverage of the subject but different in its treatment. It presents in a systematic and consolidated manner the result of work and research in the field with full reference to the primary sources.
  13. **Monograph:** The scope of a monograph is narrower than that of a treatise. Monograph is on a single topic whereas a treatise is on a broad subject. Research monographs are separately published reports on an original research that is too long, too specialized or otherwise unsuitable for publication in one of the standard journals. Each monograph is self-contained which frequently summarizes the particular existing theory or practice along with the author's original work.
  14. **Review:** A review is actually a narrative account or critical synthesis of the progress of a particular field of study prepared by an expert in the field. It shifts, evaluates and puts each significant contribution into its proper perspective. It indicates interrelationship of ideas, significance and possible areas of application and so on, so that one can easily get an expert view of the subject without having to go through the mass of literature.
  15. **Text Book:** A text book is made of continuous exposition, sentences mount into paragraph, paragraphs into chapter, chapters get woven into a single swelling exposition in the continuous pursuit of a single idea, simple or complex, and text books are read consecutively for inspiration, enjoyment or information. There is a link at each stage. There is an element of continuity. According to Grogan, "a text book is a teaching instrument; its primary aim is not to import information about its subject but to develop understanding of it. It concentrates on demonstrating principles rather than recounting detail".
  16. **State of the Art Report:** These are types of reviews which do not have all embracing scope and historical orientation. These present information assembled from various sources and subjects to the operation of analysis, consolidation, extraction and evaluation in a formal presentation representing the most advanced degree of technical achievement in its field at the present time. Some owe their existence to a specific query while others are issued on a regular basis, in many cases once in a year. State of the Art report emphasizes on the recent and up-to-date ideas.



17. **Trend Report:** Trend report gives an account of the general direction of research in the subject based on a review of the documents on current development.
18. **Technical Digests:** A digest service is directed to executives, engineers, technical worker, etc. working in industries. It provides up to date technical information. It presents descriptive text of information in a condensed form and on the core ideas in brief and orderly form.

### 14.3.2 Non-documentary Sources

On the other hand, non-documentary sources include:

- Institutional Sources
- Human Sources
- Colleagues
- Peers
- Information Gatekeepers
- Guides, Advisors, Consultants
- Vendors, Contractors, Collaborators, etc.

### Self Assessment

Fill in the blanks:

5. A library as a gateway of knowledge provides access to a variety of such ..... sources of information.
6. Those of documents representing new facts can be regarded as .....
7. Those documents having the character of reviews can be grouped as .....
8. .... are usually published as dailies or weeklies.
9. The external house journal is meant for the external ..... of an organization.
10. .... aims to inform and educate the employees of all levels about the organization's activities, functions, etc.
11. Thesis and ..... are the results of purely academic pursuit.

### 14.4 Statistical Methods

Statistical method is the systematic method which is used to organize, present, analyse and interpret the large or small volume of numerical information effectively. It is nothing but the method by which statistical data are analysed.

Statistical method ranges from the most elementary descriptive devices which may be understood by the common man to those complicated mathematical procedure which can be apprehended only by the expert theoreticians.

According to Croxlon and Cowden statistics may be defined as "the collection, presentation, analysis and interpretation of numerical data", however what they missed in their definition is the organization of data. Thus statistical method is the "science of collection, organization, presentation, analysis and interpretation of numerical data" and for a statistical method above five stages are essential and comprehensive.

**Notes**

A common goal for a statistical research project is to investigate causality, and in particular to draw a conclusion on the effect of changes in the values of predictors or independent variables on dependent variables or response. There are two major types of causal statistical studies:

- Experimental Studies, and
- Observational Studies.

In both types of studies, the effect of differences of an independent variable (or variables) on the behaviour of the dependent variable are observed. The difference between the two types lies in how the study is actually conducted. Each can be very effective.

**Experimental Studies**

An experimental study involves taking measurements of the system under study, manipulating the system, and then taking additional measurements using the same procedure to determine if the manipulation has modified the values of the measurements. In contrast, an observational study does not involve experimental manipulation. Instead, data are gathered and correlations between predictors and response are investigated.

*Experiments*

The basic steps of a statistical experiment are:

- Planning the research, including finding the number of replicates of the study, using the following information: preliminary estimates regarding the size of treatment effects, alternative hypotheses, and the estimated experimental variability. Consideration of the selection of experimental subjects and the ethics of research is necessary. Statisticians recommend that experiments compare (at least) one new treatment with a standard treatment or control, to allow an unbiased estimate of the difference in treatment effects.
- Design of experiments, using blocking to reduce the influence of confounding variables, and randomized assignment of treatments to subjects to allow unbiased estimates of treatment effects and experimental error. At this stage, the experimenters and statisticians write the experimental protocol that shall guide the performance of the experiment and that specifies the primary analysis of the experimental data.
- Performing the experiment following the experimental protocol and analysing the data following the experimental protocol.
- Further examining the data set in secondary analyses, to suggest new hypotheses for future study.
- Documenting and presenting the results of the study.

**Observational Studies**

In epidemiology and statistics, an observational study draws inferences about the possible effect of a treatment on subjects, where the assignment of subjects into a treated group versus a control group is outside the control of the investigator. This is in contrast with experiments, such as randomized controlled trials, where each subject is randomly assigned to a treated group or a control group. The assignment of treatments may be beyond the control of the investigator for a variety of reasons:

- A randomized experiment would violate ethical standards. Suppose one wanted to investigate the abortion – breast cancer hypothesis, which postulates a causal link between

induced abortion and the incidence of breast cancer. In a hypothetical controlled experiment, one would start with a large subject pool of pregnant women and divide them randomly into a treatment group (receiving induced abortions) and a control group (bearing children), and then conduct regular cancer screenings for women from both groups. Needless to say, such an experiment would run counter to common ethical principles. (It would also suffer from various confounds and sources of bias, e.g., it would be impossible to conduct it as a blind experiment.) The published studies investigating the abortion–breast cancer hypothesis generally start with a group of women who already have received abortions. Membership in this “treated” group is not controlled by the investigator: the group is formed after the “treatment” has been assigned.

- The investigator may simply lack the requisite influence. Suppose a scientist wants to study the public health effects of a community-wide ban on smoking in public indoor areas. In a controlled experiment, the investigator would randomly pick a set of communities to be in the treatment group. However, it is typically up to each community and/or its legislature to enact a smoking ban. The investigator can be expected to lack the political power to cause precisely those communities in the randomly selected treatment group to pass a smoking ban. In an observational study, the investigator would typically start with a treatment group consisting of those communities where a smoking ban is already in effect.
- A randomized experiment may be impractical. Suppose a researcher wants to study the suspected link between a certain medication and a very rare group of symptoms arising as a side effect. Setting aside any ethical considerations, a randomized experiment would be impractical because of the rarity of the effect. There may not be a subject pool large enough for the symptoms to be observed in at least one treated subject. An observational study would typically start with a group of symptomatic subjects and work backwards to find those who were given the medication and later developed the symptoms. Thus a subset of the treated group was determined based on the presence of symptoms, instead of by random assignment.

### 14.5 Scope of Library Statistics

The importance of statistics in recent years cannot be over emphasized. The development in statistical studies has considerably increased its scope and importance. It is no longer regarded as the science of statecraft or a by-product of state administration. Now it embraces a host of sciences—social, physical and natural. Statistical findings have assumed unprecedented dimensions these days. Statistical thinking has become indispensable for able citizenship. Statistics is of immense use in the following cases:

- In acquisition section
- In processing section
- In circulation section
- In periodical section
- In reference section



*Task* Prepare a report on the scope of statistics in different sections of a library.

Notes

**Self Assessment**

Fill in the blanks:

- 12. Statistics may be defined as the collection, presentation, analysis and interpretation of .....
- 13. An ..... study does not involve experimental manipulation.



Case Study

**Global Statistics for Advocacy: An Edge Initiative**

**S**ystematic library assessment is on the move. The Initiative shows US entrepreneurship at its best.

The initiative was launched in 2011 by a coalition of library and local government organizations, including The Bill and Melinda Gates Foundation.

The goal is to develop a suite of tools that support continuous improvement and reinvestment in public technology. This approach was probably inspired by the Gates Foundation, which has always emphasized evidence-based planning and assessment.

Edge is developing a rating system comprised of benchmarks and indicators designed to work as an assessment tool – will help library staff understand best practices in public access technology services for their communities and determine what steps they need to take to improve their technology services.

The whole system looks very well designed: balanced, clear and comprehensive. The instrument has been developed for a US context, but the basic approach could well be a model for similar initiatives in other countries.

Since they are looking at statistical indicators rather than evaluation and assessment in general, I have extracted the more statistical components. Version 1.0 of the benchmarks asks for three types of statistics: survey data, book-keeping data and web traffic data,

**Survey Data**

The library surveys patrons annually about public technology use and outcomes in the following purpose areas:

- Workforce development
- e-Government
- Education
- Health & wellness

The following questions are included in an annual survey:

- Patron satisfaction with library technology
- Personal importance of library technology
- Importance of library technology to others in the community

Contd...

**Book-keeping Data**

The following metrics are tracked on an ongoing basis:

- Number of hours public devices are in use by patrons
- Number of attendees in technology classes
- Average wait times for public devices
- Number of wireless sessions
- Number of requests for one-on-one technology help
- The library has a sufficient number of device hours available on a per capita basis. (Proposed categories: 3 to 6 hours; 6 to 12 hours; more than 12 hours per capita)

**Web Traffic**

- Web analytics are used to evaluate the use of online library resources annually
- Library website usage reports are reviewed at least quarterly
- Subscription content (e.g., databases) usage reports are reviewed at least quarterly

**Questions**

1. State the purpose of statistics in terms of library.
2. What are the statistical indicators?

Source: <http://iflastat.wordpress.com/>

**14.6 Summary**

- Statistics word coined from Latin word “status”.
- Statistics, or numerical data that has been collected, organized and interpreted in some way, exist on a wide variety of subjects, including health, weather, crime, population characteristics, labour and employment, to name only a few.
- The word statistics convey a variety of meaning to people, when it is used in different context.
- There are different types of Documentary Sources of Information.
- Statistical method is the systematic method which is used to organize, present, analyse and interpret the large or small volume of numerical information effectively.
- A common goal for a statistical research project is to investigate causality, and in particular to draw a conclusion on the effect of changes in the values of predictors or independent variables on dependent variables or response.
- The importance of statistics in recent years cannot be over emphasized. The development in statistical studies has considerably increased its scope and importance.

**14.7 Keywords**

**External Audience:** The external audience of an organization refers to those who do not work under the roof of the organization, but are interested in it.

**House Journal:** It is a publication issued by an organization to inform the public of its performance and style of function.

**Notes**

**Internal House Journals:** Internal house journals are meant for the employees under the roof of an organization.

**Journal:** Journal is a scholarly publication devoted to disseminating current information about research and developments in a specific field or subfield of human knowledge.

**Magazine:** The magazine usually refers to the non-scholarly publications written for an educated audience and contains popular reading.

**Secondary Publication:** Those documents having the character of reviews can be grouped as secondary publication.

**Trend Report:** Trend report gives an account of the general direction of research in the subject based on a review of the documents on current development.

### **14.8 Review Questions**

1. What is statistics?
2. Explain the history of statistics.
3. Discuss the characteristics of statistics.
4. What method is used for computing statistics?
5. Describe the key terms used in statistics.
6. What is library statistics?
7. Explain the source of library statistics.
8. Describe and discuss the significance of statistics in library development proposal.
9. What type of statistics needs to be maintained in the reference section of a library?

### **Answers: Self Assessment**

- |                           |                            |
|---------------------------|----------------------------|
| 1. Demographic            | 2. Statistics              |
| 3. Refinement             | 4. Causes                  |
| 5. Documentary            | 6. primary publication     |
| 7. secondary publication. | 8. Newspapers              |
| 9. Audience               | 10. Internal house journal |
| 11. Dissertation          | 12. numerical data.        |
| 13. observational         |                            |

### **14.9 Further Readings**



Books

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D. K. Pandey. Jan, 2004. *Library and Information Science*. Atlantic Publishers & Distributors.

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Online links

<http://www.emathzone.com/tutorials/basic-statistics/history-of-statistics.html>

<http://www.netugc.com/statistics>

<http://www.preservearticles.com/201104125282/importance-and-scope-of-statistics.html>





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