

# Academic Library System

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DLIS406



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**P** ROFESSIONAL  
**U** NIVERSITY

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# ACADEMIC LIBRARY SYSTEM

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# SYLLABUS

## Academic Library System

### Objectives:

- To manage library resources efficiently.
- To expedite access to scholarly resources at the point and place of need.
- To provide cutting-edge facilities and services to support research, teaching, learning, and scholarly communication across all academic disciplines.

Sr. No.	Description
1	Role of library in academic institutions: Schools, Colleges and Universities, Development of university
2	College libraries with special reference to role of UGC, Role of academic libraries in open and distance education/ learning
3	Planning : Need & Importance of planning ;types of plans – short term, long term, strategic; steps
4	Components of planning —time involved, money involved, area of planning , SWOT analysis, systems approach , planning tool—MBO, Planning of library building and its interior.
5	Organizing: Purpose & Need for organizing. Organizational structure (line and staff functions, departmentalization, organizational charts); authority & its decentralization; (quality circles, matrix structures); functional organization of libraries
6	Human Resource Management : Staffing : Job definitions, recruitment, training and development motivation, job enrichment, appraisal of library staff.
7	Leadership & Communication: Activities and qualities of libraries managers; creativity and innovation; entrepreneurship. Interpersonal communication
8	Financial Management: Source of funds, different type of budgets; accounting and auditing, costing and cost analysis of libraries services

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## Unit 1: Role of Library in Academic Institutions

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Introduction

- 1.1 National Knowledge Commission
- 1.2 School Library
  - 1.2.1 History of School Libraries in India
  - 1.2.2 The Purpose of the School Library
  - 1.2.3 The School Library Collection
  - 1.2.4 Staffing of the School Library
- 1.3 Summary
- 1.4 Keywords
- 1.5 Review Questions
- 1.6 Further Readings

### Objectives

After studying this unit, you will be able to:

- Explain the national knowledge commission
- Discuss the schools library
- Describe the features and functions of school library.

### Introduction

In a traditional sense, a **library** is a large collection of books, and can refer to the place in which the collection is housed. Today, the term can refer to any collection, including digital sources, resources, and services. The collections can be of print, audio, and visual materials in numerous formats, including maps, prints, documents, microform(microfilm/microfiche), CDs, cassettes, videotapes, DVDs, video games, e-books, audio books and many other electronic resources.

The places where this material is stored can range from libraries, subscription, private libraries, and can also be in digital form, stored on computers or accessible over the internet. The term has acquired a secondary meaning: “a collection of useful material for common use.” This sense is used in fields such as computer science, mathematics, statistics, electronics and biology.

A library is organized for use and maintained by a public body, an institution, or a private individual. Public and institutional collections and services may be intended for use by people who choose not to — or cannot afford to — purchase an extensive collection themselves, who need material no individual can reasonably be expected to have, or who require professional assistance with their research. In addition to providing materials, libraries also provide the services of librarians who are experts at finding and organizing information and at interpreting information needs. Libraries often provide a place of silence for studying. Libraries often

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provide public facilities to access to their electronic resources and the Internet. Modern libraries are increasingly being redefined as places to get unrestricted access to information in many formats and from many sources. They are extending services beyond the physical walls of a building, by providing material accessible by electronic means, and by providing the assistance of librarians in navigating and analyzing tremendous amounts of information with a variety of digital tools.

## **1.1 National Knowledge Commission**

In its endeavour to transform the knowledge landscape of the country, the National Knowledge Commission has submitted around 300 recommendations on 27 focus areas during its three and a half year term. While the term of the NKC has come to an end, the implementation of NKC's recommendations is currently underway at the Central and State levels.

The Prime Minister of India, Dr. Manmohan Singh, Constituted the **National Knowledge Commission** on 13 June 2005, It is a high-level advisory body to the Prime Minister of India, with the objective of transforming India into a knowledge society. In particular, the Commission was to advise the Prime Minister's Office on policy related to education, research institutes and reforms needed to make India competitive in the knowledge economy. The Commission was to recommend reform of the education sector, research labs, and intellectual property legislation; as well as consider whether the Government could itself upgrade its use of the latest techniques to make its workings more transparent.

The NKC website was launched in February 2006.

The National Knowledge Commission (NKC) consists of the following eight members:

- Sam Pitroda, Chairman
- Dr. Ashok Ganguly, Corporate leader
- Nandan Nilekani, Chairman of Unique Identification Authority of India (UIDAI)
- Dr. Deepak Nayyar, former Vice-chancellor, University of Delhi
- Dr. Jayati Ghosh, economist at Jawaharlal Nehru University
- Dr. Sujatha Ramdorai, TIFR
- Dr. P Balaram, Indian Institute of Science, Bangalore
- Prof. Amitabh Mattoo, Former Vice Chancellor, Jammu University.

The organisational structure of the NKC is flat. The Secretariat is headed by an Executive Director and consists of around 8-9 research associates. It also has four advisors who advises the commission on different issues. The Secretariat of the Commission is located in Chanakyapuri, New Delhi.

In December 2006, the Commission brought out a 'Report to the Nation 2006'. It includes the following recommendations submitted to the Prime Minister:

- Libraries
- Knowledge
- E-governance
- Translation
- Languages
- National Portals

Many of the recommendations of the NKC are already in the implementation stage by different ministries of the Government. This includes areas such as Libraries, e-governance and translation.

Some of the major areas under work are higher education, vocational education, entrepreneurship, school education etc.

The NKC consults a wide range of stake-holders and experts on each area before submitting the recommendations to the Prime Minister. Each area has a working group which is headed by a prominent person in that field. The Working Group members meet several times to submit a report to the NKC. The NKC members then hold discussions on the report before submitting it to the Prime Minister. After submitting the recommendations, an extensive coordination also takes place with the Planning Commission of India and relevant ministries of the Government.

As many of the components of the education sector remains state subjects in India, NKC representatives also visit various state governments and conduct deliberations with secretaries of education departments for reforming of the education sector at the state level.



*Did u know?* The Commission was mandated to last till October 2008. But, looking at the good work the Commission had done, it had been extended until March 2009.

## **1.2 School Library**

A **school library** (or a school library media center) is a library within a school where students, staff, and often, parents of a public (state) or private (fee paying) school have access to a variety of resources. The goal of the school library media center is to ensure that all members of the school community have equitable access “to books and reading, to information, and to information technology.” A school library media center “uses all types of media... is automated, and utilizes the Internet [as well as books] for information gathering.” School libraries are distinct from public libraries because they serve as “learner-oriented laboratories which support, extend, and individualize the school’s curriculum... A school library serves as the center and coordinating agency for all material used in the school.”

### **1.2.1 History of School Libraries in India**

#### ***School Libraries: Features and Functions***

Children are our future. They should be introduced to the books and other documents at very young age. Primary library, Secondary library and higher secondary school libraries are different types of school libraries.

#### ***Functions of School Libraries***

School libraries are useful to acquire, maintain and circulate the books and other reading material relevant to the needs and interest of teachers and students. They create curiosity and interest among students and staffs to teach them how best make use of the available materials for their study, teaching recreation and entertainment. They create a sense of value among the users to inculcate the habit of self-study. They enable the teachers to use the libraries to support various programmes of school. They generate the sense of confidence among the staffs.



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*Notes* The school libraries have pictorial books, biographies of great men and women, comics and cartoons, folk-tales, punchatantra tales, stories of animals and birds, games and sports, reference books, children’s magazines, Audio video materials etc.

### 1.2.2 The Purpose of the School Library

The school library exists to provide a range of learning opportunities for both large and small groups as well as individuals with a focus on intellectual content, information literacy, and the learner. In addition to classroom visits with collaborating teachers, the school library also serves as a place for students to do independent work, use computers, equipment and research materials; to host special events such as author visits and book clubs; and for tutoring and testing.

The school library media center program is a collaborative venture in which school library media specialists, teachers, and administrators work together to provide opportunities for the social, cultural, and educational growth of students. Activities that are part of the school library media program can take place in the school library media center, the laboratory classroom, through the school, and via the school library’s online resources.

### 1.2.3 The School Library Collection

School libraries are similar to public libraries in that they contain books, films, recorded sound, periodicals, realia, and digital media. These items are not only for the education, enjoyment, and entertainment of the all members of the school community, but also to enhance and expand the school’s curriculum.



*Task* Write some extra features and functions of the school library.

### 1.2.4 Staffing of the School Library

In many schools, school libraries are staffed by librarians, teacher-librarians, or school library media specialists who hold a specific library science degree. In some jurisdictions, school librarians are required to have specific certification and/or a teaching certificate.

The school librarian performs four leadership main roles: teacher, instructional partner, information specialist, and program administrator. In the teacher role, the school librarian develops and implements curricula relating to information literacy and inquiry. School librarians may read to children, assist them in selecting books, and assist with schoolwork. Some school librarians see classes on a “flexible schedule”. A flexible schedule means that rather than having students come to the library for instruction at a fixed time every week, the classroom teacher schedules library time when library skills or materials are needed as part of the classroom learning experience.



**Notes** In the instructional partner role, school librarians collaborate with classroom teachers to create independent learners by fostering students' research, information literacy, technology, and critical thinking skills.

As information specialists, school librarians develop a resource base for the school by using the curriculum and student interests to identify and obtain library materials, organize and maintain the library collection in order to promote independent reading and lifelong learning. Materials in the library collection can be located using an Online Public Access Catalog (OPAC).

This role also encompasses many activities relating to technology including the integration of resources in a variety of formats: periodical databases; Web sites; digital video segments; podcasts; blog and wiki content; digital images; virtual classrooms, etc. School librarians are often responsible for audio-visual equipment and are sometimes in charge of school computers and computer networks.

## Self Assessment

Fill in the blanks:

1. NKC stands for ..... .
2. NKC website was launched in ..... .

True or False:

3. Library is a collection of useful material for common use.
4. A school library should contain only the books related to the subjects in the curriculum.

## 1.3 Summary

- The Prime Minister of India, Dr. Manmohan Singh, Constituted the **National Knowledge Commission** on 13 June 2005, It is a high-level advisory body to the Prime Minister of India, with the objective of transforming India into a knowledge society.
- A **school library** (or a school library media center) is a library within a school where students, staff, and often, parents of a public (state) or private (fee paying) school have access to a variety of resources.
- The school library exists to provide a range of learning opportunities for both large and small groups as well as individuals with a focus on intellectual content, information literacy, and the learner.
- In many schools, school libraries are staffed by librarians, teacher-librarians, or school library media specialists who hold a specific library science degree.

## 1.4 Keywords

**Endeavour** : Try hard to do or achieve.

**Intellectual** : Relating to or appealing to the intellect.

<b>Notes</b>	<b>Prominent</b>	: Important or famous.
	<b>Collaborating</b>	: Cooperate with each other.
	<b>Flexible</b>	: Capable of bending easily without breaking.

### **1.5 Review Questions**

1. What is library?
2. Write a short note on National Knowledge Commission.
3. What is the purpose of school libraries?
4. Write the features and functions of school library.

### **Answers: Self Assessment**

- |                                  |                  |
|----------------------------------|------------------|
| 1. National Knowledge Commission | 2. February 2006 |
| 3. True                          | 4. False         |

### **1.6 Further Readings**



- Books**
- Planning Budget in Libraries, New Delhi:* Faruqi, Khalid, K.ed., Anmol Pub, 1997.
- Planning Library Buildings, New Delhi:* Faruqi, Khalid, K. Anmol Pub, 1998.
- Stock verification in Libraries: Problems and Solutions, Delhi:* Gupta, S.R., Ken Publications, 1990.
- Library Management of Staff Training and Development, Delhi:* Iyer, V.K. Rajat, 1999.



- Online links** <http://schools.natlib.govt.nz/developing-your-library/managing-your-library/>  
<http://www.aicte-india.org/miskcr.htm#>

## Unit 2: Colleges and Universities Libraries

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- 2.1 Role of College Librarian in Career Guidance
- 2.2 Development of University Libraries
  - 2.2.1 University Libraries in Ancient India
  - 2.2.2 University Libraries in Medieval India
  - 2.2.3 Libraries in Modern India (1757–1947)
  - 2.2.4 Modern Libraries
  - 2.2.5 Establishment of the Imperial Library
- 2.3 Development of College Libraries
- 2.4 Role of UGC
  - 2.4.1 UGC Infonet Digital Library Consortium
- 2.5 Role of Academic Libraries
- 2.6 Open Education
  - 2.6.1 Distance Education
- 2.7 Summary
- 2.8 Keywords
- 2.9 Review Questions
- 2.10 Further Readings

### Objectives

After studying this unit, you will be able to:

- Know about the role of college librarian in career guidance
- Describe the development of university library
- Discuss the role of UGC
- Explain the open education.

### Introduction

Career guidance is not a new concept and its roots can be traced back to ancient times. However, career guidance, in its present form, owes its origin to US and other developed countries. Career guidance encompasses information, guidance and counseling services to assist in making educational, training and occupational choices. Career guidance and counseling programmes in higher educational institutions aim to provide assistance and advice to students to make them more and better informed in their future educational and career choices. It also

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helps the students to realize their strengths and weaknesses by instilling self-awareness, decision making skills, planning skills, personality development etc. At present there is a greater need to provide career guidance services in the college libraries. Many developed countries have well developed career guidance plans in their educational system from the school level. In India, such planning is not undertaken effectively. In higher education institutions libraries are meeting mostly the career information needs of the students through informal and few formal means. Hence, there is a need to plan and organize this sector.

Information and communication technology has influenced the way in which career guidance is provided to the graduates and other adults. Western countries are undertaking many research activities in the area of career guidance as they realize its importance and see it as a key tool for personal development and to connect person and occupation based on the interest and aptitude of the individual concerned. They use software packages like SIGI3, SIGI PLUS, DISCOVER etc. to provide career guidance.



*Notes* These facilities are not in use in Indian higher educational institutions. Though career guidance is a century old concept recently it becomes an important issue world wide in view of the changes in the economy brought about by globalization, privatization and emergence of ICT.

Information is at the core of career guidance and education; indeed, it tends to prevail over other guidance function. In an academic institution, library is the focal point where staff and students are energized and empowered with knowledge. Libraries ought to extend their support in all spheres of knowledge and by providing career information in the library it will be helping the users to have an aim in their lives. A quality career service can help the students/ graduates to find out their interests and abilities and to attain their dream job in the society. As a quality career resource centre, library can take pride in the development and well-being of its users. To achieve this library staff should strive and adapt according to the signs of the time. It is necessary to provide career information literacy to the graduates so that they will be equipped with the knowledge about how to seek, evaluate and select career information and this may lead to better decision making for the quality of their future life.

## **2.1 Role of College Librarian in Career Guidance**

To conduct guidance job efficiently librarian should train himself. In this regard Wiley and Andrew (1955) opined that to efficiently perform this role in the guidance program, the librarian should:

1. Familiarize him with the services of the guidance program.
2. Secure and file unbound occupational and educational information.
3. Maintain an “occupational shelf” for bound materials.
4. Make the library a laboratory for pupils seeking guidance materials.
5. Acquaint counselors and teachers with new guidance materials reaching the library.
6. Cooperate with administrators, counselors, and teachers in making the library a service point for knowledge acquisition and career development.

## 2.2 Development of University Libraries

### 2.2.1 University Libraries in Ancient India

In the Vedic age instructions were imparted “orally, without the medium of books.” Taxila from 700 B.C. to 300 A.D. was considered to be the most respected seat of higher learning and education in India but still there is no evidence found so far in the archaeological excavations at Taxila that there had been a good library system in the Taxila University. Fa-Hien noticed such libraries at Jetavana monastery at Sravasti (U.P). In 400 A.D., there came into being one of the biggest known universities, the Nalanda University, which by 450 A.D. became a renowned seat of learning, its fame spreading beyond the boundaries of India. Nalanda near Patna grew to be the foremost Buddhist monastery and an educational centre. Most of what we know of the Nalanda University during the 6th and the 7th centuries A.D. is due to the accounts left by Hiuen-tsang, who lived in the institution for three years in the first half of the 7th century, and I-tsing who also stayed there for ten years towards the latter part of the same century. Information on the Nalanda University Library is also found in the Tibetan accounts, from which we understand that the library was situated in a special area known by the poetical name the Dharmaganja, (Piety Mart) which comprised three huge buildings, called the Ratnasagara, the Ratnodadhi and the Ratnaranjaka of which the Ratnasagara was a nine storied building and housed the collection of manuscripts and rare sacred works like Prajnaparamita Sutra etc. The library at Nalanda had a rich stock of manuscripts on philosophy and religion and contained texts relating to grammar, logic, literature, the Vedas, the Vedanta, and the Samkhya philosophy, the Dharmasastras, the Puranas, Astronomy, Astrology and Medicine. (Mukherjee, 1966).



*Did u know?* The University of Nalanda and its library flourished down to the 12th century A.D. (Ibid.) until Bakhtiyar Khalji sacked it in 1197–1203 A.D.7 and set fire to the establishment of Nalanda.

### 2.2.2 University Libraries in Medieval India

The existence of academic libraries during the medieval period of Indian history is not known, though the Muslim rulers did patronize libraries in their own palaces. A lone exception, however, was a library attached to a college at Bidar, (Gawan, 1463–82) having a collection of 3000 books on different subjects. (Mukherjee) Aurangzeb got this Library transferred to Delhi to merge it with his palace library. (Keay, 1918). During the medieval period, due to Muslim invasions and political troubles, the powerful empires and kingdoms of Indian rulers fell one by one. This affected higher education and the development of academic libraries as well.

### 2.2.3 Libraries in Modern India (1757–1947)

During the British rule in India, numbers of academic institutions were established by the East India Company, and by the Christian missionaries. Some of the worth mentioning events which led to the growth and development of higher education in India during this period were the establishment of the Calcutta College in 1781, Jonathan Duncan, then a British agent, founded the Benaras Sanskrit College in 1792. The Calcutta Fort William College was founded in 1800. All these colleges were having their own libraries. The Charter Act of 1813, the foundation of Fort William and Serampore Colleges, Calcutta, Madras and Bombay universities and their libraries, Hunter, Raleigh and Calcutta University Commissions, library training programmes, the establishment of Inter University Board, Sargent Report and appointment of

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the University Grants Committee, the establishment of Madras University, University of Bombay, University of Calcutta and their libraries, the constitution of Inter- University Board, the appointment of Hartog Committee, the Montague-Chelmsford reforms of 1919, the Government of India Act of 1935, and the Sargent Committee Report etc. laid foundation for establishment of libraries in various parts of the country. In 1840 Presidency College was founded in Madras, followed by a medical college in Bombay in 1845. This progress in education was instrumental in establishing universities in India.

Library movement is a saga of organized growth and development of libraries giving the details of establishment, maintenance and functioning of libraries in a geographical proximity. These aspects viz., establishment, maintenance and functioning make a library a growing organization. No country in the world can progress without providing free public library services to the citizens. It is imperative on the part of the democratic country like India to establish the service institutions like public libraries in order to strengthen the democratization of information and to promote the social, cultural, historical and scientific and technical knowledge in the public at large. The growth and development of public library system in India may be studied by categorizing it broadly into three groups:

1. Ancient libraries;
2. Medieval Libraries and
3. Modern libraries.

**2.2.4 Modern Libraries**

The first landmark in the pre-independence history of the public library system in India is the enactment of delivery and registration of publications Act of Bombay government in May 1808.

**2.2.5 Establishment of the Imperial Library**

The first three decades of the 20th century can be marked as the golden period of Indian library system. On 31st Jan 1902 the Imperial Library Act was passed and Lord Curzon transformed the Calcutta Public Library into Imperial Library in 1906.

The two important landmarks in the pre independent history of public libraries in India are:

1. Baroda State Public Libraries Network of late Shri Sayajirao Gaikwad-III of Baroda. He invited Mr. M.A.Borden, an American Librarian in 1910 to introduce a scientifically organized free and open access public library system. He established stated wide free public library network in the state.
2. Organisation of Library Conferences: Series of conferences were organized in continuation of the Indian National Congress Sessions. A few of them are mentioned below;
  - (i) The first Conference of Library workers and persons interested in Library Movement was held at Beswada, Andhra in 1914.
  - (ii) The first All India Library conference of Libraries was held in 1918 at Lahore.
  - (iii) The first All India Public Library Conference was held at Madras in 1934.
  - (iv) The first All India Library Conference was held at Calcutta in 1933.

## **2.3 Development of College Libraries**

Notes

There are near about more than 4000 colleges including madrasa, technical and vocational educational institute in Bangladesh. As a member of Least Develop Countries (LDC) college libraries 'development does not keep pace with development of other socio-economic units in the community. Besides, education in Bangladesh for earning degrees does not keenly feel importance of library services for receiving knowledge although it is an essential concern for an academic as well as educational institution. College libraries development closely related to the development of value of college education while colleges offer certificates and degrees form Higher Secondary to Postgraduate level.

Libraries are said to be the heart of educational institutions. It is true when education of an academy goes well to cultivate knowledge rather than only awarding certificates. Whether most of the colleges are playing proper role to educate its population and practicing cultivation of knowledge has become questionable. Role of libraries has come out as a principal issue in creating a study friendly environment encircled libraries. It has been observed that library development towards effective services was not taken into consideration as it could have been. This article was prepared by a sample survey taking 33 college libraries with the author's 25 years of professional experience that tried to find problems and recommendations for solutions. Vision 2021 of digital Bangladesh found a national awareness building topic. Proper education can make human ethically sound. Colleges are such place where the future leaders can earn education to meet the challenge of vision 2021 Bangladesh. Ethical knowledge with technology may make students and community a responsible entity. By the use of libraries in colleges in various ways including information technological activities education obviously will be a healthier experience for a student. A nation should utilize this opportunity for greater interest.

## **2.4 Role of UGC**

Cooperation amongst institutions for sharing their library resources is being practiced for decades. Traditionally, the primary purpose of establishing a library consortium is to share physical resources including books and periodicals amongst members. However, the mode of cooperation has gone under a transformation with infusion of new information technology from print-based environment to digital environment. The emergence of Internet, particularly, the World Wide Web (WWW) as a new media of information delivery triggered proliferation of Web-based full-text online resources. Increasing number of publishers is using the Internet as a global way to offer their publications to the international community of scientists. The technology provides an unparalleled media for delivery of information with greater speed and economy. The libraries and information centres, as heavy consumers of electronic journals and online databases, stand to benefit greatly from this technology-driven revolution. The availability of IT-based electronic information products are exerting ever-increasing pressure on libraries, which, in turn, are committing larger portions of their budgetary allocation for either procuring or accessing web-based online full-text search services, CD ROM products and online databases. The libraries with their diminishing or at the best static financial allocations have to consider new ways to consolidate global resources amongst them in order to maximize their limited financial resources. The combination of these developments has resulted in the development of "shared subscription" or "consortia-based subscription" to journals everywhere in the world.

Shared subscription or consortia-based subscription to electronic resources through the consortia of libraries, on one hand, permits successful deployment and desktop access to electronic resources at a highly discounted rates of subscription and on the other hand, it meets with the increasing pressures of diminishing budget, increased user's demand and rising cost of journals. The library consortia, on the basis of sheer strength of the number of institutions, offer healthy



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business growth opportunities to the electronic publishers and thus attract the best possible price and terms of agreements. With this welcome change, the libraries all over the world are forming consortia of all types and at all levels with an objective to take advantage of current global network to promote better, faster and more cost-effective ways of providing electronic information resources to the information seekers. GALILIO, OhioLink, TexShare, VIVA and SUNYConnect in USA, CALIS in China, CONCERT in Taiwan, INDEST-AICTE Consortium, UGC-INFONET Digital Library Consortium and CSIR E-Journals Consortium in India are some of the well-known library consortia. Besides, library consortia that emerged with primary motive to license e-resources for their member institutions, several existing library networks have also taken-up the task to license e-resources for their members.

Considering the facts mentioned above, the University Grants Commission launched two ambitious programmes for the academic community in universities under its purview. The first initiative, namely “UGC-Infonet Connectivity Programme” provides for networking of university campuses with state-of-the-art campus wide networks and Internet bandwidth, the second initiative called the “UGC-Infonet Digital Library Consortium” provides access to selected scholarly electronic journals and databases in different disciplines. The INFLIBNET is responsible for execution and monitoring of both the initiatives.



*Task* Describe the role of libraries in Ancient India.

#### **2.4.1 UGC Infonet Digital Library Consortium**

The UGC INFONET Digital Library Consortium is major initiative of University Grants Commission (UGC) to bring qualitative change in academic libraries in India. It was formally launched in December, 2003 by Honourable Dr. A.P.J. Abdul Kalam, the then President of India, soon after providing the Internet connectivity to the universities in the year 2003 under the UGC-Infonet programme. It is a national initiative for providing access to scholarly electronic resources including full-text and bibliographic databases in all subject disciplines to academic community in India. It facilitates access to high quality e-resources to academia in the country to improve teaching, learning and research. The Consortium provides current as well as archival access to more than 5,000 core and peer-reviewed journals and nine bibliographic databases in different disciplines from 23 publishers and aggregators. The access to all major e-resources was given 50 universities in first phase in the year 2004. It has now been extended to 157 universities in three different phases. In terms of number of users, the UGC-INFONET Digital Library Consortium is the largest Consortium in India with a vision and plan to reach out to all universities and colleges affiliated to these universities, over a period of time.

##### ***Aims and Objectives***

The main objective of the UGC INFONET Digital Library Consortium is to provide access to qualitative electronic resources including full-text and bibliographic databases to academic institutions at a lower rates of subscription. The major aims and objectives of the UGC-Infonet Digital Library Consortium are as follows:

- to provide access to a high-quality and scholarly electronic resources to a large number of academic institutions including universities and colleges at substantially lower rates of subscription and at most favourable terms and conditions;
- to promote rapid and efficient access to scholarly content to the users and to create and promote use of ICT in teaching and learning in universities in India;

- to extend the benefit of Consortium to its associate members including private universities and colleges;
- to impart training to the users, librarians, research scholars and faculty members of the institutions in use of electronic resources with an aim to optimize their usage;
- to promote use of e-resources with gradual decrease in print subscription;
- to promote interaction and inter-library cooperation amongst the participating universities;
- to evaluate the usage of the subscribed resources and to identify new resources that are required to be subscribed under the programme;
- to bring qualitative change in teaching, learning and research with an aim to meet the ever growing challenges of globalization of higher education; and
- to increase the research productivity of the institutions both in terms of quality and quantity of publications.

### **Benefits**

The consortia-based subscription to e-resources is a viable solution for increasing the access to electronic resources across institutions at a lower rate of subscription. Major benefits of UGC-INFONET Digital Library Consortium are as follows:

- (i) The Consortium acts as a single-window service for a large number of universities with their diverse research and academic interest;
- (ii) The Consortium, with its collective strength of participating institutions, attracts highly discounted rates of subscription with most favourable terms of agreement for a wider range of e-resources. Most of the e-publishers have responded positively to the call of the Consortium. The rates offered to the consortium are lower by 60% to 99% depending upon the category of institutions;
- (iii) Users have immediate access to material previously not subscribed to, at no incremental cost for accessing back files;
- (iv) It improves the existing library services and reduces the subscription cost;
- (v) The research productivity of beneficiary institutions is expected to improve with increased access to international databases and full-text resources;
- (vi) The Consortium is expected to trigger remarkable increase in sharing of both print and electronic resources amongst participating library through J-GATE Custom Contents for Consortia (JCCC);
- (vii) The Consortium has been opened-up for all other universities / educational institutions through its "Associate Membership Programme". Private universities and other institutions can join the Consortium and get the benefit of not only highly discounted rates of subscription but also the favourable terms and conditions;
- (viii) Members of the Consortium have the benefit of cap on the annual increase in the rates of subscription. While the usual increase in price of e-resources vary from 15 to 20%, the consortium enjoys the cap on increase in price ranging from 5% to 8%;
- (ix) The Consortium is offered better terms of agreement for use, archival access and preservation of subscribed electronic resources, which would not have been possible for any single institutions; and

**Notes**

- (x) Since the subscribed resources is accessible online in electronic format, the beneficiary institutions have less pressure on space requirement for storing and managing print-based library resources. Moreover, all problems associated with print media such as their wear and tear, location, shelving, binding, organizing, etc. are not an issue for electronic resources.

## **Self Assessment**

State whether true or false:

1. Many developed countries have well developed career plan in their educational system.
2. Nalanda near Patna grew to be the foremost Buddhist Monastery and educational centre.
3. In 1840, Presidency college was founded in Bombay.
4. Libraries are said to be the heart of educational institutions.

## **2.5 Role of Academic Libraries**

An **academic library** is a library that is attached to academic institutions above the secondary level, serving the teaching and research needs of students and staff. These libraries serve two complementary purposes: to support the school's curriculum, and to support the research of the university faculty and students.

The support of teaching requires material for class readings and for student papers. In the past, the material for class readings, intended to supplement lectures as prescribed by the instructor, has been called reserves. In the period before electronic resources became available, the reserves were supplied as actual books or as photocopies of appropriate journal articles. Traditionally, one copy of a book was made available for each 10 students — this is practical for large classes only if paperback copies are available, and the books reused from term to term.

Academic libraries must decide what focus they take in collecting materials since no single library can supply everything. When there are particular areas of specialization in academic libraries these are often referred to as niche collections. These collections are often the basis of a special collection department and may include original papers, artwork, and artifacts written or created by a single author or about a specific subject.

### ***United States***

The first colleges in the United States were intended to train members of the clergy. The libraries associated with these institutions largely consisted of donated books on the subjects of theology and the classics. In 1766, Yale had approximately 4,000 volumes, second only to Harvard. Access to these libraries was restricted to faculty members and a few students: the only staff was a part-time faculty member or the president of the college. The priority of the library was to protect the books, not to allow patrons to use them. In 1849, Yale was open 30 hours a week, the University of Virginia was open nine hours a week, Columbia University four, and Bowdoin College only three. Students instead created literary societies and assessed entrance fees in order to build a small collection of usable volumes often in excess of what the university library held.

Around the turn of the century, this approach began to change. The American Library Association was formed in 1876, with members including Melville Dewey and Charles Ammi Cutter.

Libraries re-prioritized in favor of improving access to materials, and found funding increasing as a result of increased demand for said materials.

Academic libraries today vary in regard to the extent to which they accommodate those who are not affiliated with their parent universities. Some offer reading and borrowing privileges to members of the public on payment of an annual fee; such fees can vary greatly. The privileges so obtained usually do not extend to such services as computer usage, other than to search the catalog, or Internet access. Alumni and students of cooperating local universities may be given discounts or other consideration when arranging for borrowing privileges. On the other hand access to the libraries of some universities is absolutely restricted to students, faculty, and staff. Even in this case, they may make it possible for others to borrow materials through inter-library loan programs.

Libraries of land-grant universities generally are more accessible to the public. In some cases they are official government document repositories and so are required to be open to the public. Still, members of the public are generally charged fees for borrowing privileges, and usually are not allowed to access everything they would be able to as students.

## **2.6 Open Education**

**Open education** is a collective term that refers to educational organizations that seek to eliminate barriers to entry. Such institutions, for example, would not have academic admission requirements. Such universities include Open University in Britain and Athabasca University in Canada. Such programs are commonly distance learning programs, but not necessarily.

Open education has grown tremendously in the past few years, and we've seen thousands of resources for free and open learning online become available. Universities like MIT and Yale have opened their doors to students around the world, offering courses, lectures, and even textbooks for free to anyone who would like to learn from them. The incredible volume of resources available for students can be overwhelming, and it has been difficult for students to find structure and organization in the open education.

We've created this library of open education resources to help students create a unique learning experience. This library's aim is to catalog every piece of useful open educational resources online, and organize them in a way that makes sense for open education students. Until now, there hasn't been a central location where anyone can find a carefully categorized collection of open education resources. We've created a library that satisfies that need.

All of the resources that you will find in this library are organized by industry and major, so it's easy for you to find exactly what you're looking for. The library is designed to make it possible for you to create your own course of study, whether you're interested in art history or electrical engineering.

Our library is one of a kind, collected from the hundreds of open education resource websites online. We've found just about every useful educational resource available from university open courseware websites, lecture collections, open textbook libraries, and more. With each resource, you'll find a brief description that can help you determine if that particular resource is useful for you.

### **2.6.1 Distance Education**

**Distance education** or **distance learning** is a field of education that focuses on teaching methods and technology with the aim of delivering teaching, often on an individual basis, to students who are not physically present in a traditional educational setting such as a classroom. It has been described as "a process to create and provide access to learning when the source of information and the learners are separated by time and distance, or both."

Notes



*Notes* Distance education courses that require a physical on-site presence for any reason (including taking examinations) have been referred to as hybrid or blended courses of study.

***Distance Education in India***

Distance Education courses have helped people to extend a dynamic personality for themselves as they help them to connect in several activities. For those who can not go to attend regular classes, distance learning in India has come as blessings. As the plenty of institutes providing distance learning courses are continuously proliferating in this section. We have covered very important topics- Distance Education India. India will center on the universities in India that are providing various correspondence courses through the distance learning mode.

***Distance Education Courses in India***

The Distance Learning in India programmed presented at institutions in India can be categorized under the some disciplines, which are Arts, Science and Commerce. Students can choose for both undergraduate, post graduate degrees, doctorate degrees as well as diploma courses and certificate courses.



*Did u know?* Catalog under graduate degree courses presented by distance learning institutes in India include B.A English, History, Sociology, Psychology, Political Science, Hindi, Sanskrit, B.Com, B.Sc Physics, Chemistry, Biology, Zoology, Economics and Geography, B.Lib Bachelor of Library Science, B.Ed and BBA. Masters degree courses are also offered through the distance education mode.

***Distance Education Universities in India***

A lot of universities in India have a section for distance education that presented courses in various streams. The Open Universities situated in the different states in India present distance learning programs to students all over the country. Here we show the list of few distance universities in India that offers distance education India. Indira Gandhi Open University, maharshi dayanand, Annamalai University, Jamia Hamdard open and distance learning, Guru Jambheshwar University, University of Delhi School of open learning etc.

***Distance Education Colleges in India***

India is a very big country and open colleges in various states offer distance learning courses. Distance learning in India, colleges and the courses that they offer are different from state to state. The different Indian states where distance education is offered include New Delhi, Rajasthan, Madhya Pradesh, Maharashtra, Bihar, Gujarat, West Bengal, Uttar Pradesh, and many others.

**Distance Education Admissions**

Notes

Distance education courses are becoming trendy in India and the number of institutes present distance education courses is also growing correspondingly. Admissions to the distance learning courses are done by the entity institutes. The mode of distance education admissions of these institutes may be different. While some of the institutes perform entrance examinations, others may make the admission process simpler.



Task Explain the advantages and disadvantages of the distance learning in your view.

**Library Needs**

In a situation where a distance learner is seen to be autonomous and independent (Sauve 1993), and that separation of teacher and learner is seen as a central characteristic of distance education, libraries play a significant role in supporting the process by, amongst other things, selecting relevant and useful reading materials; organising them in some order so that the students can find materials they need without wasting time; and making learning materials readily available for consultation or borrowing. This suggests that, under normal circumstances, distance education assumes that there would always be supporting institutions such as public libraries to provide support to distance learners. It is maintained that libraries are a key resource for many open learners as they provide “access to an enormous range of information... most of this will take the form of print on paper—that is, books, pamphlets, journals ...” (Rowntree 1991). But the development of information technology has also made it possible nowadays for libraries to acquire, organise, store, and disseminate information technology related learning materials.

In Tanzania, Tanzania Library Services (TLS) which was established in the early 1960s and its network of regional libraries have had a role in supporting distance learners. In the 1970s and 1980s it played a significant role of providing some of the reading materials to support programmes such as adult education, and correspondence courses. For almost two decades TLS had been the envy of most developing countries. However, from mid-1980s resources for the public library started to decrease considerably. The main sources of income such as government subventions, and international donor organisations’ contributions dwindled greatly. This had a negative impact on the TLS system. The plan to develop a public library in every region and district was halted due to lack of money for development. Collection development slowed down, as it started to depend on book donors: there was not enough money to purchase reading materials, even for those published within the country (Mcharazo and Olden 1996). Ever since the system has been operating with a very low budget. The situation is well summed up thus “Africa’s governments have lost any initial enthusiasm they had for libraries ... and are placed low on the national list of priorities” (Sturges and Neill 1998). In the light of this, it is clear that distance education students are severely affected, and an attempt is made here to discuss some of the issues confronting public libraries in serving distance learners.

**Self Assessment**

Fill in the blanks:

5. An academic library is a library that is attached to ..... .
6. The first college in the ..... were intended to train members of the clergy.
7. Masters degree courses are also offered through ..... .
8. TLS stands for ..... .

## 2.7 Summary

- Career guidance is not a new concept and its roots can be traced back to ancient times. However, career guidance, in its present form, owes its origin to US and other developed countries.
- Information and communication technology has influenced the way in which career guidance is provided to the graduates and other adults.
- During the British rule in India, many academic institutions were established by the East India Company, and by the Christian missionaries.
- There are near about more than 4000 colleges including madrasa, technical and vocational educational institute in Bangladesh.
- The UGC INFONET Digital Library Consortium is major initiative of University Grants Commission (UGC) to bring qualitative change in academic libraries in India.
- An **academic library** is a library that is attached to academic institutions above the secondary level, serving the teaching and research needs of students and staff.
- The first colleges in the United States were intended to train members of the clergy.
- **Open education** is a collective term that refers to educational organizations that seek to eliminate barriers to entry.
- Distance Education courses have helped people to extend a dynamic personality for themselves as they help them to connect in several activities.
- A lot of universities in India have a section for distance education that presented courses in various streams.
- Distance education courses are becoming trendy in India and the number of institutes present distance education courses is also growing correspondingly.
- In Tanzania, Tanzania Library Services (TLS) which was established in the early 1960s and its network of regional libraries have had a role in supporting distance learners.

## 2.8 Keywords

<b>Monastery</b>	: A community of monks living under religious vows.
<b>Trendy</b>	: Very fashionable or up to date.
<b>Familiarize</b>	: Publicize.
<b>Counselors</b>	: Analyst.
<b>Proximity</b>	: Immediacy.

## 2.9 Review Questions

1. Explain in brief about colleges and university libraries.
2. Write the role of college librarian in career guidance.
3. Discuss on the development of university libraries.
4. What is meant by imperial libraries?

5. Write the major benefits of UGC-INFONET digital library consortium.
6. Define academic libraries.
7. What is open education?
8. Write the needs of library.

Notes

### Answers: Self Assessment

- |                          |                              |
|--------------------------|------------------------------|
| 1. True                  | 2. True                      |
| 3. False                 | 4. True                      |
| 5. Academic institutions | 6. United States             |
| 7. Distance learning     | 8. Tanzania Library Services |

### 2.10 Further Readings



*Books*      *Effective Library and Information Centre Management*, Bryson, Jo., Hants: Gower, 1990.

*Planning Library Buildings, New Delhi*: Faruqi, Khalid, K. Anmol Pub, 1998.

*Library Management of Staff Training and Development, Delhi*: Iyer, V.K. Rajat, 1999.



*Online links* <http://books.google.co.in/books?id=7kbwPn7FOFUC&pg=PA30&lpg=PA30&dq>

[http://www.digitalschool.net/edu/DL\\_history\\_mJeffries.html](http://www.digitalschool.net/edu/DL_history_mJeffries.html)



## Unit 3: Planning

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### Objectives

After studying this unit, you will be able to:

- Understand the need and importance of planning
- Explain the types of planning
- Describe the short-term, long-term and strategic planning
- Discuss the steps and components of planning.

### Introduction

Planning in organizations and public policy is both the organizational process of creating and maintaining a plan; and the psychological process of thinking about the activities required to create a desired goal on some scale. As such, it is a fundamental property of intelligent behavior. This thought process is essential to the creation and refinement of a plan, or integration of it with other plans, that is, it combines forecasting of developments with the preparation of scenarios of how to react to them. An important, albeit often ignored aspect of planning, is the relationship it holds with forecasting. Forecasting can be described as predicting what the future will look like, whereas planning predicts what the future should look like.

The term is also used for describing the formal procedures used in such an endeavor, such as the creation of documents, diagrams, or meetings to discuss the important issues to be addressed, the objectives to be met, and the strategy to be followed. Beyond this, planning has a different meaning depending on the political or economic context in which it is used.

Two attitudes to planning need to be held in tension: on the one hand we need to be prepared for what may lie ahead, which may mean contingencies and flexible processes. On the other hand, our future is shaped by consequences of our own planning and actions.

### **3.1 Need and Importance of Planning**

Planning is a process for accomplishing purposes. It is a blue print of business growth and a road map of development. It helps in deciding objectives both in quantitative and qualitative terms. It is setting of goals on the basis of objectives and keeping in the resources.

#### **What should a Plan be?**

A plan should be a realistic view of the expectations. Depending upon the activities, a plan can be long range, intermediate range or short range. It is the framework within which it must operate. For management seeking external support, the plan is the most important document and key to growth. Preparation of a comprehensive plan will not guarantee success, but lack of a sound plan will almost certainly ensure failure.

Planning—a result-oriented process—can be summarized in 3 easy steps:

1. Choosing a destination,
2. Evaluating alternative routes, and
3. Deciding the specific course of your plan.

#### **Purpose of a Plan**

Just as no two organizations are alike, so also their plans. It is therefore important to prepare a plan keeping in view the necessities of the enterprise. A plan is an important aspect of business. It serves the following three critical functions:

- Helps management to clarify, focus, and research their business's or project's development and prospects.
- Provides a considered and logical framework within which a business can develop and pursue business strategies over the next three to five years.
- Offers a benchmark against which actual performance can be measured and reviewed.

#### **Importance of the Planning Process**

A plan can play a vital role in helping to avoid mistakes or recognize hidden opportunities. Preparing a satisfactory plan of the organization is essential. The planning knows the business and those they have thought through its development in terms of products, management, finances, and most importantly, markets and competition.

Planning helps in forecasting the future, makes the future visible to some extent. It bridges between where we are and where we want to go. Planning is looking ahead.

## **3.2 Types of Planning**

- Architectural planning
- Business plan
- Comprehensive planning
- Contingency planning
- Economic planning
- Enterprise Architecture Planning
- Event Planning and Production
- Family planning
- Financial planning
- Land use planning
- Life planning
- Marketing plan
- Network resource planning
- Operational planning
- Strategic planning
- Succession planning
- Urban planning

### **3.2.1 Objectives and Policies**

#### ***The Objectives***

The objectives are general parts of the planning process. They are the end-results towards which all business activities are directed. They are needed in every aspect where performance and result directly and vitally affect the survival and success of the firm. In other words, the objective of the firm justifies its existence.

Newman and summer stated that “For managerial purposes, it is useful to think of objectives as the results we want to achieve. Objective covers firm’s long-range plans specific departmental goals and short-term individual assignment also.”

#### ***The Policies***

Policies are specific guidelines and constraints for managerial thinking on decision-making and action. Policies provide the framework within which decision-makers are expected to operate while making organizational decisions. They are the basic guides to be consistent in decision-making.

### **3.2.2 Planning Basics**

#### ***Essentials of Planning***

Planning is not done off hand. It is prepared after careful and extensive research. For a comprehensive business plan, management has to: Clearly define the target/goal in writing.

It should be set by a person having authority. The goal should be realistic, specific, acceptable to the organization, and easily measurable. Identify all the main issues which need to be addressed. Review past performance. Decide budgetary requirement. Focus on matters of strategic importance. What are requirements and how will they be met? What will be the likely length of the plan and its structure? Identify shortcomings in the concept and gaps. Strategies for implementation. Review periodically. Define strategies and activities.

### 3.2.3 Applications

#### *In Organizations*

Planning is also a management process, concerned with defining goals for future organizational performance and deciding on the tasks and resources to be used in order to attain those goals. To meet the goals, managers may develop plans such as a business plan or a marketing plan. Planning always has a purpose. The purpose may be achievement of certain goals or targets. The planning helps to achieve these goals or target by using the available time and resources. To minimize the timing and resources also require proper planning. The concept of planning is to identify what the organization wants to do by using the four questions which are “where are we today in terms of our business or strategy planning? Where are we going? Where do we want to go? How are we going to get there?”

#### *In Public Policy*

Planning refers to the practice and the profession associated with the idea of planning an idea yourself (land use planning, urban planning or spatial planning). In many countries, the operation of a town and country planning system is often referred to as “planning” and the professionals which operate the system are known as “planners”.

It is a conscious as well as sub-conscious activity. It is “an anticipatory decision-making process” that helps in coping with complexities. It is deciding future course of action from amongst alternatives. It is a process that involves making and evaluating each set of interrelated decisions. It is selection of missions, objectives and “translation of knowledge into action.” A planned performance brings better results compared to an unplanned one. A manager’s job is planning, monitoring and controlling. Planning and goal setting are important traits of an organization. It is done at all levels of the organization. Planning includes the plan, the thought process, action, and implementation. Planning gives more power over the future. Planning is deciding in advance what to do, how to do it, when to do it, and who should do it. This bridges the gap from where the organization is to where it wants to be. The planning function involves establishing goals and arranging them in logical order.

## **3.3 Short-term, Long-term and Strategic Planning**

The SDTM Library’s Strategic Plan has 4 main areas of concern and is derived from the vision and goals of the Institute. These areas are (1) preparing students for the knowledge society, (2) creating a vibrant learning community on campus, (3) supporting the scholarly communication process and (4) focusing all activities on users.

### 3.3.1 Preparing Students for the Knowledge Society

- (i) Our goals in producing graduates for the knowledge-based society, preparing graduates for novel challenges and nurturing entrepreneurship, depend to a large degree on our

Notes

success in imparting independent learning skills and inculcating life-long learning habits amongst our students. It is widely accepted that the rapid obsolescence of knowledge and skills in the modern global economy requires continuous lifetime effort in learning and re-learning. Acquisition of content-based knowledge, while forming the foundation and basis for professional practice in various disciplines, is no longer sufficient for life-long employability. More importantly, process oriented skills such as independent learning and information literacy will provide our graduates with the keys to success in the new economy and also in achieving personal fulfillment in life.

- (ii) Libraries have always been the tool and vehicle of life-long and independent learning. They do not prescribe what one should learn, but instead allow each to fashion their own learning paths and goals. People use libraries to learn at any point in their life and when it is needed. Therefore, libraries organize themselves to provide tools and services to facilitate and encourage independent and life-long learning. Today, the abundance of information in the Internet world has created new concerns in learning and education at the same time that it has created a new paradigm in communication. Having access to an abundance of information does not necessarily lead to effective use of information and learning. The role of libraries now focuses on helping people become more discerning and effective users of information.
- (iii) Our Library aims to reinforce and strengthen this role, by inculcating independent and life-long learning habits of our students. We do this by direct and indirect means. Direct means include our librarians offering of instructional courses on information literacy to beginning as well as the advanced students. These courses show students how to be effective and responsible users of information generally and also in their subject areas of study. Our goal is to have every TISS student attend at least 2 library instructional classes before they graduate. We achieve this goal indirectly as well. Through exposure to the myriad of quality information resources, services and awareness activities, our students will gain a deeper understanding on the nature and use of information and thus grow into strong and effective independent learners by the time they graduate.

### 3.3.2 Creating a Vibrant Learning Community on Campus

- (i) Libraries will continue to be important physical fixtures in the future campus for the simple reason that they are important social and community space in addition to being depositories of books and other information objects. In a hybrid library where many media co-exist, space is essential to mediate between users, collection and services. Even when everything has gone completely electronic, we will still have to invent new spaces to cater to other aspects of learning. Learning is a social and multi-dimensional activity that relies on human interaction, multiple senses, chance encounters and serendipity for it to be effectively carried out. Libraries are special community spaces, with powerful symbolic and cultural connotation of learning, intellectual freedom and optimism. There is no other more potent place to engage in study and learning.
- (ii) The increasing adoption of collaborative approach in learning demands a different approach to designing our library space. Seats and space would most likely be designed and built to facilitate discussion and collaborative work between learners. This will lead to a different ambience in the library from what we are used to today. It will probably be much noisier, with more activity and equipped with more gadgets and service points (manned or unmanned). At the same time, libraries will also need to cater to traditional needs for a conducive environment for study and reflection. It will be an interesting architectural and planning challenge to cater to such competing requirements. The academic

library of the future will be designed with a focus on creating useful, innovative and attractive space for users rather than solely for physical collections.

Notes

### 3.3.3 Supporting Scholarly Communication and Research

- (i) Research activities occur within the framework of scholarly communication. This framework, traditionally based on journal publications and books, serves many functions in academe—such as providing quality control, lending legitimacy, establishing priority and dissemination of research work. In recent years, the scholarly communication system has been widely discussed as a result of serious challenges on the economic and technological fronts. The so-called “scholarly communication crisis” (the continued escalating costs of journal subscriptions) takes center stage, as it seriously undermines libraries’ financial ability to sustain their services. The development of open access journals and other similar initiatives and movements are gathering steam to meet these challenges. At the same time, technology has also transformed the way in which the scholarly communication system works. Most of these changes center on the transformation of the scholarly publication from print based to electronic formats and structure.
- (ii) Information and communication technology has also enabled scholars and others to collaborate in very effective ways regardless of the physical and temporal distance that separates them. Instant access to common virtual workspace, resources and even equipment has given scholars the facility to work with their global partners thousands of miles away as though they are beside each other in a laboratory.
- (iii) Our Library will monitor these developments and will prepare itself to meet the practical challenges arising from them. Libraries are essential components of the scholarly communication system and it is important for us to anticipate the impact of these changes in scholarly communication. The Library also recognizes that the work of our academic staff and scholars in the scholarly communication network contribute critically to the reputation of the University and will find ways and means to provide support. Besides building rich and relevant collections, we will start work on an institutional repository (IR) that will archive and provide access to the intellectual work of our academic staff. This is also in line with developments in other institutes/universities where eventually all IRs will form a significant international network of scholarly information resources.

### 3.3.4 Focussing all Activities on the User

- (i) The Institute’s goal of creating a student and professor centric approach and culture fit in very well with the expressed user-oriented philosophy of libraries. Our Library recognizes that it is primarily a service organization and we exist to meet the information and learning needs of all users, whatever their level of attainment or status. The Library aims to inculcate in all staff member the strong satisfaction of a service oriented approach in our work and also filter all our work flow and policies through the lenses of our users. All our policies will be reviewed and combed through to identify areas that are lacking in user-oriented approach.
- (ii) All professional librarians, including Heads of Divisions have been assigned subject responsibilities which focus on identifying and meeting the information needs of specific target groups of users according to subject discipline. This has effectively pushed all librarians to the front-end of service work and emphasizes the importance of serving our users directly. Over time, this will also help the library staff develop better and stronger rapport with our users. Our users will also develop a strong sense of ownership and identity with the respective libraries and our services.

**Notes**

- (iii) In order to coordinate our work better in serving our users, an open communication policy has been gradually instituted in our workplace since last year. Regular updates and briefing sessions are held with staff members in a variety of formats, from large group to individuals. A Library Team site will be developed to share information amongst staff and to act as a repository of library administrative records, procedures and policies.

### **3.4 Steps and Components of Planning**

Schematic component symbols are created in schematic libraries. The components in these libraries then reference footprints and other models defined in separate footprint libraries and model files. As a designer, you can place components from these discrete component libraries or you can compile the symbol libraries, footprint libraries and model files into integrated libraries. The advantages of integrated libraries are that they are portable (everything is in one file) and the components and models in them cannot be edited. The bulk of Altium Designer components (around 70,000 ISO compliant components) are supplied in integrated libraries, which you will find in the Library folder of your Altium Designer installation. You can extract the source libraries out of an integrated library, to do this open the integrated library and choose Extract Sources to extract the source libraries, which will then be opened for editing. For more information, refer to the Building an Integrated Library tutorial.

#### **Creating Schematic Components**

The Schematic Library Editor is used to create and modify schematic components, and manage component libraries. It is similar to the Schematic Editor and shares the same graphical design objects, with the addition of the Pin tool. Components are created with the design objects in the Schematic Library Editor. Components can be copied and pasted from one schematic library to another or from the schematic editor to the schematic library editor.

#### **Creating a New Library Package and Schematic Library**

Before we start creating components, we need a new schematic library to store them in. This library could be created as a stand-alone library, referencing models in separate files. An alternate approach is to create the new schematic library with the intention of compiling it and the referenced models into an integrated library package. This means that before we create the library we need to create a new library package. A library package is the basis of an integrated library – it binds together the separate schematic libraries, footprint libraries and model files that are ultimately compiled into the single integrated library file.

### **Self Assessment**

Fill in the blanks:

1. A ..... can play a vital role in helping to avoid mistakes or recognise hidden opportunities.
2. .... is the process of accomplishing purposes.

True or False:

3. Schematic component symbols are created in schematic libraries.
4. Components cannot be copied and pasted from one schematic library to another or from the schematic editor to the schematic library editor.

### 3.5 Summary

Notes

- Planning in organizations and public policy is both the organizational process of creating and maintaining a plan; and the psychological process of thinking about the activities required to create a desired goal on some scale.
- Planning is a process for accomplishing purposes.
- A plan should be a realistic view of the expectations.
- A plan can play a vital role in helping to avoid mistakes or recognize hidden opportunities.
- Planning is also a management process, concerned with defining goals for future organizational performance and deciding on the tasks and resources to be used in order to attain those goals.
- Schematic component symbols are created in schematic libraries. The components in these libraries then reference footprints and other models defined in separate footprint libraries and model files.

### 3.6 Keywords

<b>Forecast</b>	: Predict or estimate.
<b>Accomplish</b>	: Achieve or complete successfully.
<b>Encourage</b>	: Give support, confidence or hope to.
<b>Depository</b>	: A person to whom something is lodged in trust.
<b>Schematic</b>	: Symbolic and simplified.

### 3.7 Review Questions

1. What is the essential of planning?
2. What are the four main areas of short-term long-term planning?
3. Define the area of planning?
4. Write the purpose of planning.
5. Write the need and importance of planning.
6. Discuss on the applications of planning.
7. Explain the steps and components of planning.

### **Answers: Self Assessment**

- |         |             |
|---------|-------------|
| 1. Plan | 2. Planning |
| 3. True | 4. False    |



Notes

### 3.8 Further Readings



- Books*
- Effective Library and Information Centre Management*, Bryson, Jo., Hants: Gower, 1990.
- Planning budget in Libraries, New Delhi: Faruqi, Khalid, K.ed., Anmol Pub, 1997.*
- Library Management of Staff Training and Development, Delhi: Iyer, V.K. Rajat, 1999.*



- Online links*
- <http://rashmi-krishna-kumar.suite101.com/types-of-planning-in-an-organisation>
- [http://www.managementstudyguide.com/planning\\_function.htm](http://www.managementstudyguide.com/planning_function.htm)

## Unit 4: Area of Planning

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### Objectives

After studying this unit, you will be able to:

- Understand the SWOT analysis
- Know about the matching and converting
- Describe the corporate planning
- Explain the system approach
- Discuss the planning tool-MBO.

### Introduction

Technical Instructions (TI) describe the Area Development Planning (ADP) and Site Planning processes to be used in preparing plans for construction drawings. The instructions are intended to be used by those individuals given the responsibility for site planning which includes site selection, site development, and site design. The planning procedures that occur in developing a project are described in these instructions. The procedures described are sound and provide a logical process to the end result.

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**Area Development Plan:** The ADP is described as providing facility planning at the small area or sub-area level which falls between master planning for an entire installation (RPMP) and site planning for individual buildings. The ADP process includes the phases Identification, Evaluation and Implementation. Identification includes defining the goals and objectives, verifying the program requirements, developing functional relationships, defining spatial relationships, providing an inventory of the area and accomplishing a site visit. Evaluation includes the development of a site analysis that graphically shows the developmental opportunities and constraints for the area. Alternative conceptual plans are developed for evaluation and a determination of a final area development plan is accomplished. Implementation includes the procedures of the Army military construction program for development and execution.

Site planning is described as further defining the functional layout for specific buildings or functions and their site. It also includes the phases Identification, Evaluation, and Implementation. Identification includes defining site specific goals and objectives, verifying the program requirements, developing functional relationships, defining spatial relationships, providing an inventory of the area and accomplishing a site visit. Evaluation includes the development of a site analysis that graphically shows the developmental opportunities and constraints for the site. Alternative conceptual plans are developed for evaluation and a determination of a final site plan is accomplished. The resulting site plan provides the basis for the preparation of construction drawings. Implementation includes the procedures of the Army military construction program for development and execution. The design criteria discusses building design, location and orientation, vehicular circulation and parking, pedestrian circulation, surface water management, utility systems design, lighting design, landscape design, and physical security.

### 4.1 SWOT Analysis

**SWOT analysis** is a strategic planning method used to evaluate the **Strengths, Weaknesses, Opportunities, and Threats** involved in a project or in a business venture. It involves specifying the objective of the business venture or project and identifying the internal and external factors that are favorable and unfavorable to achieve that objective. The technique is credited to Albert Humphrey, who led a convention at Stanford University in the 1960s and 1970s using data from Fortune 500 companies.

A SWOT analysis must first start with defining a desired end state or objective. A SWOT analysis may be incorporated into the strategic planning model. Strategic Planning has been the subject of much research.

**Strengths:** characteristics of the business or team that give it an advantage over others in the industry.

- **Weaknesses:** Are characteristics that place the firm at a disadvantage relative to others.
- **Opportunities:** External chances to make greater sales or profits in the environment.
- **Threats:** External elements in the environment that could cause trouble for the business.

Identification of SWOTs is essential because subsequent steps in the process of planning for achievement of the selected objective may be derived from the SWOTs.

First, the decision-makers have to determine whether the objective is attainable, given the SWOTs. If the objective is NOT attainable a different objective must be selected and the process repeated.

The SWOT analysis is often used in academia to highlight and identify strengths, weaknesses, opportunities and threats. It is particularly helpful in identifying areas for development.

#### 4.1.1 Matching and Converting

Notes

Another way of utilizing SWOT is **matching** and **converting**.

Matching is used to find competitive advantages by matching the strengths to opportunities.

Converting is to apply conversion strategies to convert weaknesses or threats into strengths or opportunities.

An example of conversion strategy is to find new markets.

If the threats or weaknesses cannot be converted a company should try to minimize or avoid them.

#### 4.1.2 Internal and External Factors

The aim of any SWOT analysis is to identify the key internal and external factors that are important to achieving the objective. These come from within the company's unique value chain. SWOT analysis groups key pieces of information into two main categories:

- *Internal factors:* The strengths and weaknesses internal to the organization.
- *External factors:* The opportunities and threats presented by the external environment to the organization.

The internal factors may be viewed as strengths or weaknesses depending upon their impact on the organization's objectives. What may represent strengths with respect to one objective may be weaknesses for another objective. The factors may include all of the 4P's; as well as personnel, finance, manufacturing capabilities, and so on. The external factors may include macroeconomic matters, technological change, legislation, and socio-cultural changes, as well as changes in the marketplace or competitive position. The results are often presented in the form of a matrix.

SWOT analysis is just one method of categorization and has its own weaknesses. For example, it may tend to persuade companies to compile lists rather than think about what is actually important in achieving objectives. It also presents the resulting lists uncritically and without clear prioritization so that, for example, weak opportunities may appear to balance strong threats.

It is prudent not to eliminate too quickly any candidate SWOT entry. The importance of individual SWOTs will be revealed by the value of the strategies it generates. A SWOT item that produces valuable strategies is important. A SWOT item that generates no strategies is not important.

#### 4.1.3 Use of SWOT Analysis

The usefulness of SWOT analysis is not limited to profit-seeking organizations. SWOT analysis may be used in any decision-making situation when a desired end-state (objective) has been defined. Examples include: non-profit organizations, governmental units, and individuals. SWOT analysis may also be used in pre-crisis planning and preventive crisis management. SWOT analysis may also be used in creating a recommendation during a viability study/survey.

#### 4.1.4 Criticism of SWOT

Some findings from Menon et al. (1999) and Hill and Westbrook (1997) have shown that SWOT may harm performance.

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#### 4.1.5 SWOT—Landscape Analysis

The SWOT-landscape grabs different managerial situations by visualizing and foreseeing the dynamic performance of comparable objects according to findings by Brendan Kitts, Leif Edvinsson and Tord Beding (2000).

Changes in relative performance are continually identified. Projects (or other units of measurements) that could be potential risk or opportunity objects are highlighted.

SWOT-landscape also indicates which underlying strength/weakness factors that have had or likely will have highest influence in the context of value in use (for ex. capital value fluctuations).

#### 4.1.6 Corporate Planning

As part of the development of strategies and plans to enable the organization to achieve its objectives, then that organization will use a systematic/rigorous process known as corporate planning. SWOT alongside PEST/PESTLE can be used as a basis for the analysis of business and environmental factors.

- *Set objectives:* Defining what the organization is going to do
- **Environmental scanning**
- Internal appraisals of the organization's SWOT, this needs to include an assessment of the present situation as well as a portfolio of products/services and an analysis of the product/service life cycle
- *Analysis of existing strategies:* This should determine relevance from the results of an internal/external appraisal. This may include gap analysis which will look at environmental factors
- *Strategic Issues defined:* Key factors in the development of a corporate plan which needs to be addressed by the organization
- *Develop new/revised strategies:* Revised analysis of strategic issues may mean the objectives need to change
- *Establish critical success factors:* The achievement of objectives and strategy implementation
- **Preparation** of operational, resource, projects plans for strategy implementation
- *Monitoring results:* Mapping against plans, taking corrective action which may mean amending objectives/strategies.

#### 4.1.7 Marketing

In many competitor analyses, marketers build detailed profiles of each competitor in the market, focusing especially on their relative competitive strengths and weaknesses using SWOT analysis. Marketing managers will examine each competitor's cost structure, sources of profits, resources and competencies, competitive positioning and product differentiation, degree of vertical integration, historical responses to industry developments, and other factors.

Marketing management often finds it necessary to invest in research to collect the data required to perform accurate marketing analysis. Accordingly, management often conducts market research (alternately marketing research) to obtain this information. Marketers employ a variety of techniques to conduct market research, but some of the more common include:

- Qualitative marketing research, such as focus groups
- Quantitative marketing research, such as statistical surveys
- Experimental techniques such as test markets

- Observational techniques such as ethnographic (on-site) observation
- Marketing managers may also design and oversee various environmental scanning and competitive intelligence processes to help identify trends and inform the company's marketing analysis.

Using SWOT to analyse the market position of a small management consultancy with specialism in HRM.

Strengths	Weaknesses	Opportunities	Threats
Reputation in marketplace	Shortage of consultants at operating level rather than partner level	Well established position with a well defined market niche	Large consultancies operating at a minor level
Expertise at partner level in HRM consultancy	Unable to deal with multidisciplinary assignments because of size or lack of ability	Identified market for consultancy in areas other than HRM	Other small consultancies looking to invade the marketplace

## Self Assessment

State whether true or false:

1. ADP stands for Area Development Planning.
2. SWOT analysis is a strategic planning method used to evaluate the strengths, Weaknesses, Opportunities and Threats.
3. The SWOT item that generates no strategies is most important.
4. Usefulness of SWOT analysis is limited to profit-seeking organization.

## 4.2 Systems Approach

Change is the order of the world. It is the change, particularly developmental changes that have been key drivers in societal transformation at large. The present stage of the society is that of information based knowledge society. Libraries are in existence ever since the recorded knowledge has started to be preserved for future. The traditional concept of library is being redefined from a place to access paper records or books to one that also houses the most advanced media. Libraries are changing in response to changes in the learning and research environment and also changes in the expectations of library users. These changes are evolutionary. Consequently, Library and Information Professionals (LIPs) are increasingly combining traditional duties with tasks involving changing technology. Traditional library performance measures fail to explain fully what is happening in libraries today because their scope is too narrow to encompass the field of change.

### Nature of Change in Information Services

The nature of change in information services characterized by the factors like diversity and unpredictability of the services and staffing of libraries, which are cross-border specialized,

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the structural change in library and information services, the amount of complexity driven by mixed economy, personalization of library and information services, competition and/or collaboration with network giants like Google etc.; all these constantly demand new skills and competencies over the traditional ones.

**Characteristics of Emerging Library and Information Environment**

Modern library and information environment is characterized by electronic communication, both synchronous and asynchronous, web - based information sources, multimedia information, and is uncontrolled largely as a result of the Internet facilitating information creation, distribution and access. Accordingly, typical user expectations of the present day include – everything in full text and downloadable or printable; faster service; uninterrupted service availability, virtual reference service librarian available online, easy access; easy-to-use web resources permitting self-service; a librarian who knows all subjects and all databases; everything should be in electronic or digital format; several options/alternatives to choose from; a library web site that is capable to conduct all library transactions online viz., library registration, document delivery request, loans and renewals, etc.; and a web search engine to find required information.

**Dynamics of Library and Information Profession**

The next few decades will continue to be ones of transition and role redefinition for the LIPs. Even as they grow and make an effort to stay current in the rapidly changing technology environment, they will always be faced with the challenge of simultaneous learning, implementation and planning. The LIPs can no longer afford to remain institutionalized passive spectators, instead they have to find new ways to add value and remain relevant in this rapidly changing confusing and competitive environment. All the activities will now have to be tailored to give long distance and often home delivered information, which is the demand of time. Major sources of challenges faced by the LIPs in the present environment are the rapid development in ICTs, changing economy, changing education and learning environment, changes in scholarly communication.

The biggest challenge for Indian librarianship is to bring about attitudinal change among the library staff. Libraries and librarians are still the lowest priority in the decision making process and the librarians are the least visible persons. If this main challenge is confronted by librarians and libraries in real earnest it is only then that one can expect all the necessary changes within the system itself. But a serious prerequisite to overcome this challenge is to upgrade the competence and skills of the library and information professionals, since it is imperative to become deserving before asking for something. Ingraining these competencies will motivate the LIPs to serve their customers in a better manner thus helping them to contribute towards reaching organizational goal. A major road block in this task often confronted by LIPs is the resistance to change.

**4.3 Planning Tool—MBO**

Management by Objectives (MBO) is a process in which a manager and an employee agree upon a set of specific performance goals, or objectives, and jointly develop a plan for reaching them. The objectives must be clear and achievable, and the plan must include a time frame and evaluation criteria. For example, a salesperson might set a goal of increasing customer orders by 15 percent in dollar terms over the course of a year.

MBO is primarily used as a tool for strategic planning, employee motivation, and performance enhancement. It is intended to improve communication between employees and management,

increase employee understanding of company goals, focus employee efforts upon organizational objectives, and provide a concrete link between pay and performance. An important factor in an MBO system is its emphasis on the results achieved by employees rather than the activities performed in their jobs.

#### 4.3.1 Implementing an MBO Program

To be successful, an MBO program should be part of a small business's overall system of planning and goal setting. The first step in implementing MBO is to establish long-range company goals in such areas as sales, competitive positioning, human resource development, etc. A small business owner may find it helpful to begin by defining the company's current business and looking for emerging customer needs or market trends that may require adaptation. Such long-range planning provides a framework for charting the company's future staffing levels, marketing approaches, financing needs, product development focus, and facility and equipment usage.

The next step in establishing an MBO system is to use these long-range plans to determine company-wide goals for the current year. Then the company goals can be broken down further into goals for different departments, and eventually into goals for individual employees. As goal-setting filters down through the organization, special care must be taken to ensure that individual and department goals all support the long-range objectives of the business. Ideally, a small business's managers should be involved in formulating the company's long-range goals. This approach may increase their commitment to achieving the goals, allow them to communicate the goals clearly to employees, and help them to create their own short-range goals to support the company goals.

At a minimum, a successful MBO program requires each employee to produce five to ten specific, measurable goals. In addition to a statement of the goal itself, each goal should be supported with a means of measurement and a series of steps toward completion. These goals should be proposed to the employee's manager in writing, discussed, and approved. It is the manager's responsibility to make sure that all employee goals are consistent with the department and company goals. The manager also must compare the employee's performance with his or her goals on a regular basis in order to identify any problems and take corrective action as needed.

Formulating goals is not an easy task for employees, and most people do not master it immediately. Small business owners may find it helpful to begin the process by asking employees and managers to define their jobs and list their major responsibilities. Then the employees and managers can create a goal or goals based upon each responsibility and decide how to measure their own performance in terms of results. In the Small Business Administration publication *Planning and Goal Setting for Small Business*, Raymond F. Pelissier recommended having employees create a miniature work plan for each goal. A work plan would include the goal itself, the measurement terms, any major problems anticipated in meeting the goal, a series of work steps toward meeting the goal (with completion dates), and the company goal to which the personal goal relates.

Small business owners may also find it helpful to break down employee goal setting into categories. The first category, regular goals, would include objectives related to the activities that make up an employee's major responsibilities. Examples of regular goals might include improving efficiency or the amount and quality of work produced. The second category, problem-solving goals, should define and eliminate any major problems the employee encounters in performing his or her job. Another category is innovation, which should include goals that apply original ideas to company problems. The final category is development goals, which



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should include those goals related to personal growth or the development of employees. Dividing goal setting into categories often helps employees think about their jobs in new ways and acts to release them from the tendency to create activity-based goals.

Another requirement for any successful MBO program is that it provide for a regular review of employee progress toward meeting goals. This review can take place either monthly or quarterly. When the review uncovers employee performance that is below expectations, managers should try to identify the problem, assign responsibility for correcting it, and make a note in the MBO files.

#### **4.4 Planning of Library Building and its Interior**

Addressing collection preservation as part of library building design helps to protect the collection against catastrophic loss and to reduce library expenses by extending the collection's service life. The purpose of collection preservation is to manage risk to an acceptable level, while acknowledging that avoiding risk altogether is impossible.

The collection is the library's single largest asset; designing the building that houses it to maximize protection against major losses, including earthquake, fire, water damage, and theft, is responsible management of public resources. Designing an indoor environment (including temperature, humidity, air quality, and light levels) conducive to preservation extends the collection's service life by slowing down its rate of physical deterioration. Books and documents intended to be kept in the collection permanently will not need to be replaced as often, saving the library money.

Preservation costs money to save money; it requires an initial investment in building features and systems to increase protection and reduce deterioration. The library's return on its investment comes as cost avoidance in the years that follow: fewer losses and longer service life. To minimize up front costs, actions to protect the collection and actions to optimize the collection environment should be addressed separately. All library collections represent a large investment of library funds. Consequently, all library building projects should optimize their design to protect the collections against earthquake, fire, water, and theft. Addressing the preservation needs discussed in the sections below will help minimize the risk of catastrophic loss. Some collections have to last forever; many libraries have "special" and "local history" collections they want to last centuries, if possible. These collections largely are irreplaceable and therefore need additional features from the building design to maximize their service lives. However, most collection materials in most publicly funded libraries are not added to the collection with the expectation that they will continue to be part of the collection indefinitely. These "general" collection materials are expected to be serviceable enough to meet current and anticipated future needs; they will be discarded when they no longer are needed or have been succeeded by more current works.

Opportunities to minimize preservation-related construction and operating costs accrue from distinguishing between the needs of general and special collections. If the two types of collections can be segregated for storage and use, the higher cost solutions needed for special collections can be addressed without incurring the cost of applying the same solutions to the general collections. For example, irreplaceable special collection materials might be stored in a very secure part of the building where there are no emergency exits from the building decreasing the risk of theft, and without water lines or other utilities, decreasing the risk of water damage. Special collection materials could be used in reading areas where sight lines from service desks is unobstructed, providing a sense of vigilance and security for the collection. The relatively challenging environmental conditions needed for storage of special collections might

be met more readily and less expensively by locating special collections away from exterior walls and windows where environmental control is more difficult and more costly.

Notes

## Self Assessment

Fill in the blanks:

5. The ..... analysis is often used in academia to highlight and identify strengths, weaknesses, opportunities and threats.
6. The next few decades will continue to be ones of transition and role redefinition for the ..... .
7. .... is a process in which a manager and an employee agree upon a set of specific performance goals.
8. Formulating goals is not an easy task for ..... .

## 4.5 Summary

- **Area Development Plan:** The ADP is described as providing facility planning at the small area or sub-area level which falls between master planning for an entire installation (RPMP) and site planning for individual buildings.
- **SWOT analysis** is a strategic planning method used to evaluate the **Strengths, Weaknesses, Opportunities, and Threats** involved in a project or in a business venture. It involves specifying the objective of the business venture or project and identifying the internal and external factors that are favorable and unfavorable to achieve that objective.
- Matching is used to find competitive advantages by matching the strengths to opportunities.
- Converting is to apply conversion strategies to convert weaknesses or threats into strengths or opportunities.
- As part of the development of strategies and plans to enable the organization to achieve its objectives, then that organization will use a systematic/rigorous process known as corporate planning.
- In many competitor analyses, marketers build detailed profiles of each competitor in the market, focusing especially on their relative competitive strengths and weaknesses using SWOT analysis.
- Change is the order of the world. It is the change, particularly developmental changes that have been key drivers in societal transformation at large.
- The biggest challenge for Indian librarianship is to bring about attitudinal change among the library staff.
- Management by Objectives (MBO) is a process in which a manager and an employee agree upon a set of specific performance goals, or objectives, and jointly develop a plan for reaching them.
- Formulating goals is not an easy task for employees, and most people do not master it immediately.
- Preservation costs money to save money; it requires an initial investment in building features and systems to increase protection and reduce deterioration.

Notes

## 4.6 Keywords

- Prudent** : Acting with or showing care and thought for the future.  
**MBO** : Management by objectives.  
**Implementation** : Accomplishment.  
**Entrepreneurship** : Private enterprise.  
**Orientation** : Point of reference.  
**Accrue** : Be received in regular or increasing amounts.

## 4.7 Review Questions

1. Explain SWOT analysis.
2. Write the uses of SWOT analysis.
3. Explain in detail the corporate planning and marketing.
4. What is meant by system approach?
5. Define MBO.
6. Write a short note on Characteristics of Emerging Library and Information Environment.

## **Answers: Self Assessment**

- |          |              |
|----------|--------------|
| 1. True  | 2. True      |
| 3. False | 4. False     |
| 5. SWOT  | 6. LIPs      |
| 7. MBO   | 8. Employees |

## 4.8 Further Readings



- Books**
- Planning Library Buildings, New Delhi:* Faruqi, Khalid, K. Anmol Pub, 1998.  
*Stock verification in Libraries: Problems and Solutions, Delhi:* Gupta, S.R., Ken Publications, 1990.  
*Library Management of Staff Training and Development, Delhi:* Iyer, V.K. Rajat, 1999.



**Online links** [http://www.mindtools.com/pages/article/newTMC\\_05.htm](http://www.mindtools.com/pages/article/newTMC_05.htm)

<http://www.managementstudyguide.com/management-by-objectives.htm>

## Unit 5: Organizing

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### Objectives

After studying this unit, you will be able to:

- Understand the purpose and need for organizing
- Know about the organizational structure
- Explain the line and staff functions
- Discuss about the departmentalization
- Describe the organizational chart
- Explain the functional organization of libraries.

### Introduction

A **library classification** is a system of coding and organizing library materials (books, serials, audiovisual materials, computer files, maps, manuscripts, realia) according to their subject and allocating a call number to that information resource. Similar to classification systems used in biology, bibliographic classification systems group entities together that are similar, typically arranged in a hierarchical tree structure. A different kind of classification system,

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called a faceted classification system, is also widely used which allows the assignment of multiple classifications to an object, enabling the classifications to be ordered in multiple ways.

Library classification form part of the field of library and information science. It is a form of bibliographic classification (library classifications are used in library catalogs, while “bibliographic classification” also covers classification used in other kinds of bibliographic databases). It goes hand in hand with library (descriptive) cataloging under the rubric of cataloging and classification, sometimes grouped together as technical services. The library professional who engages in the process of cataloging and classifying library materials is called a cataloguer or catalog Library classification of a piece of work consists of two steps. Firstly, the “aboutness” of the material is ascertained. Next, a call number (essentially a book’s address) based on the classification system in use at the particular library will be assigned to the work using the notation of the system.

It is important to note that unlike subject heading or thesauri where multiple terms can be assigned to the same work, in library classification systems, each work can only be placed in one class. This is due to shelving purposes: A book can have only one physical place. However in classified catalogs one may have main entries as well as added entries. Most classification systems like the Dewey Decimal Classification (DDC) and Library of Congress classification also add a cutter number to each work which adds a code for the author of the work.

Classification systems in libraries generally play two roles. Firstly, they facilitate subject access by allowing the user to find out what works or documents the library has on a certain subject. Secondly, they provide a known location for the information source to be located (*e.g.*, where it is shelved).

## **5.1 Purpose and Need for Organizing**

This study delineates subtle distinctions in organization, management and administration which may be equally important for organizers, managers and administrators of all types of institutions and enterprises- academic, business, industrial or learned, and the study may be useful and applicable not only to library and information science, but also to management, public administration, finance, economics, statistics, mathematics, psychology, sociology, and the like.

### **5.1.1 Organization vs. Management**

‘Organizing’ literally, is a process of doing work or making arrangement for work, while ‘organization’ is a structure in which the work takes place. In this study, however, to avoid confusion, we will refer to organization as a step or method of making logical arrangement of work of an enterprise as a part of management and administration. It is relatively easy for one to separate organization from management and administration, but it may be generally difficult for him to bring a succinct distinction between ‘management’ and ‘administration’ since the later two terms are closely inter-woven, and there is a greater possibility of one being mixed up with the other. The present study, however, is an endeavour to remove such probable confusion and controversy and is intended to establish the distinctions, through appraisal of the thesis of distinguished writers and thinkers in the field, so the study is useful not only to library and information science, but also to other disciplines including public administration, management, finance, statistics, sociology, mathematics, economics, psychology and the like.

Organization may be termed as a process of making logical combination of various units of works to assign them to suitable workers in order to attain the avowed objectives of an

enterprise or an institution or a library, whilst management may be briefly termed as a process of getting things done through men and materials. Sheldon defines organization as “the process of so combining the work which individuals or groups have to perform with the faculties necessary for its execution that the duties, so formed, provide the best channels for the efficient, systematic, positive, and co-ordinated application of the available effort.” Hicks and Tillin, while defining organization, give emphasis on (a) human relationships, (b) group work and (c) social structure. They maintain that organization is mainly ‘concerned with human relationships in a group activity that, when taken together, equate to the social structure. It is the most effective method to pool the co-operative efforts of staff and channel them into productive processes.

### 5.1.2 Library and Society

Society sanctions the organization since it considers the organization capable of satisfying some need. ‘If such a need is reasonably well satisfied by a particular device, society transmits that device to future generations as integral part of its culture. This has been true of the traditional library, which was basically book oriented, and which has been passed on by society as a useful organization. The traditional book library is today unable to meet the increasing multifarious needs of the society. This necessity has given rise to the development of multimedia library to face the challenge of the society through its diversified materials including audio-visual aids, techniques, and contemporary technology including computerization and on-line literature search. An organization is composed of persons who share common interest to attain the same objectives. ‘It is characterized by a management; or leadership which defines the roles and tasks for both the group and its individual members. The roles of these members are structured around the activities or functions necessary to the accomplishment of present objectives. Management furnishes them with the needed tools, equipment, and facilities to achieve the tasks and objectives assigned. The organization creates, through management adequate policies, procedures, authority, accountability, and responsibility for the fulfillment of organizational objective.



**Notes** Organizing is a distinctive basic managerial function which is concerned primarily with formal structure as a means of gaining effective group action.

### 5.1.3 Organization vs. Administration

Library organization and library administration are closely related to each other. The distinction between the two is very subtle. Organization comes before administration. The latter starts where the former ends. One lays down theoretical principles, whilst the other puts those principles into practice.

An institution or enterprise is established with the aim of attaining certain determined objectives. But ‘how’ and ‘who’ is to achieve it? For this, ‘an organizational structure is raised, an administrative machinery is created, and management authority is appointed. The administrative machinery is responsible for laying down the basic policies of the institution; for providing a proper organizational structure; and for appointing the management personnel for achieving the desired aims. Organization is a process of classification and arrangement of various functions and jobs of an institution to assign them to respective, classified individuals in various units or departments, while administration involves setting out of definite methods, plans and policies to carry out those functions to achieve the pro-determined objectives. Administration

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is that phase of an institution—academic or business enterprise—which concerns itself with the overall determination and achievement of the major policies and objectives.

“Administration”, William Schulze maintains, “is the force which lays down the object for which an organization and its management are to strive and the broad policies under which they are to operate.” Administration is that function of management which, in reality, executes or carries out the objectives for which the institution is planned, established and then organized. Organization ensures that men, materials, jobs, various units and their included activities are properly classified, defined and nicely arranged showing harmony and functional relationships, whilst administrative function ensures that personnel’s are properly fitted to the jobs; works are performed properly with satisfaction; and that men, materials, finance and working conditions are congenial and satisfactory to yield the avowed result.

Administration includes various functions or elements, and organization is one of those elements. Organization ‘relates to the establishment of a structure of authority and responsibility which is further defined and co-ordinated for the attainment of specific objectives. It is a design of the structure, the grouping and classifying of positions, on the basis of which staff is chosen, whereas administration finds out devices to best carry out library’s planned goals with the help of judiciously selected staff.

Organization involves: (a) identifying the activities and positions necessary to carry out library’s plan and purpose; (b) logically grouping and arranging them according to their functional relationships, including work organization and job descriptions so as to assign them to respective personnel; (c) defining the extent and scope of each department or unit and its included activities; and (d) a statement of working relationships between the units and positions, and of the obligations, lines of authority or the span of control. Administration, on the other hand, means essentially the directing and executive functions that get these jobs done. It involves comprehending purposes and needs; planning, defining problems, making decisions, finding ways and means, managing and following through; organizing, or recognizing and defining, then putting together in sound and simple relationship the component elements or divisions of the operation as a whole, then of its smaller parts—departments, and individual jobs; selection of personnel; the understanding, choosing and appreciation of people and their development; giving instructions and making supervision to ensure that each does his work with distinction. The administrative function also involves certain external and financial aspects, viz. (a) the governmental connections of the library, partly through the board of trustees; (b) its relations with the government or municipal departments; (c) the financial structure of the library and the sources for securing adequate funds; their budgeting and use; (d) public relations and the methods by which the library keeps the entire community aware of its purposes, problems, services, accomplishments, and maintains constant awareness of what the community thinks of its library. Organization, on the contrary, has nothing to do with all these external activities. The domain of organization is basically internal and limited, while that of administration may be both external and internal, and, of course, wider.

## **5.2 Organizational Structure**

An organizational structure is a way of describing the relationships among groups and individuals in an organization. At the heart of an organizational structure are two things: roles/responsibilities and communications/accountability. Roles and responsibilities refer to what a person or group does, and communications accountability involves the relationships that a person or group needs to hold in order to perform their job. It is important to note that even egalitarian or “flat” structures require some kind of relationship in order to perform effectively.

These roles and responsibilities often fall under the three “Ps”: “purpose,” “people,” and “process.” A purpose role would describe a group or division through some kind of function. For instance, a “circulation” department is a functional group because people are expected to ensure the effective circulation of materials. A people role focuses on a specific group. “Youth services” would be a good example of a people-oriented role. A process role focuses on coordinating among the different function and people roles. Human Resources are probably the most recognizable “process” role.

### **5.3 Line and Staff Functions**

A **librarian** is an information professional trained in library and information science, which is the organization and management of information services or materials for those with information needs. Typically, librarians work in a public or college library, an elementary or secondary school media center, a library within a business or company, or another information-provision agency like a hospital or law firm.



*Did u know?* Librarians may be categorized as a public, school, correctional, special, independent or academic librarian.

#### **5.3.1 Outline, Requirements and Positions**

Traditionally, librarians have been associated with collections of books, as demonstrated by the etymology of the word “librarian”. However, modern librarians deal with information in many formats, including books, magazines, newspapers, audio recordings (both musical and spoken-word), video recordings, maps, manuscripts, photographs and other graphic material, bibliographic databases, web searching, and digital resources. Librarians often provide other information services, including computer provision and training, coordination of public programs, basic literacy education, and assistive equipment for people with disabilities, and help with finding and using community resources.

#### **5.3.2 Librarian Roles and Duties**

Specific duties vary depending on the size and type of library. Olivia Crosby described librarians as “Information experts in the information age”. Most librarians spend their time working in one of the following areas of a library:

- Public service librarians work with the public, frequently at the reference desk of lending libraries. Some specialize in serving adults or children. Children’s librarians provide appropriate material for children at all age levels, include pre-readers, conduct specialized programs and work with the children (and often their parents) to help foster interest and competence in the young reader. (In larger libraries, some specialize in teen services, periodicals, or other special collections.)
- Reference or research librarians help people doing research to find the information they need, through a structured conversation called a reference interview. The help may take the form of research on a specific question, providing direction on the use of databases and other electronic information resources; obtaining specialized materials from other sources; or providing access to and care of delicate or expensive materials. These services are sometimes provided by other library staff that has been given a certain amount of special training; some have criticized this trend.



Notes

- Technical service librarians work “behind the scenes” ordering library materials and database subscriptions, computers and other equipment, and supervise the cataloging and physical processing of new materials.
- Collections development librarians monitor the selection of books and electronic resources. Large libraries often use approval plans, which involve the librarian for a specific subject creating a profile that allows publishers to send relevant books to the library without any additional vetting. Librarians can then see those books when they arrive and decide if they will become part of the collection or not. All collections librarians also have a certain amount of funding to allow them to purchase books and materials that don't arrive via approval.
- Archivists can be specialized librarians who deal with archival materials, such as manuscripts, documents and records, though this varies from country to country, and there are other routes to the archival profession.
- Systems Librarians develop, troubleshoot and maintain library systems, including the library catalog and related systems.
- Electronic Resources Librarians manage the databases that libraries license from third-party vendors.
- School Librarians work in school libraries and perform duties as teachers, information technology specialists, and advocates for literacy.
- A Young Adult or YA librarian serves patrons who are between 12 and 18 years old. Young adults are those patrons that look to library services to give them direction and guidance toward recreation, education, and emancipation. A young adult librarian could work in several different institutions; one might be a school library/media teacher, a member of a public library team, or a librarian in a penal institution. Licensing for library/media teacher includes a Bachelor or Master of Arts in Teaching and additional higher-level course work in library science. YA librarians who work in public libraries usually have a Master's degree in Library and/or Information Science (MLIS), relevant work experience, or a related credential.
- “Media Specialists” teach students to find and analyze information, purchase books and other resources for the school library, supervise library assistants, and are responsible for all aspects of running the library/media center. Both LMTs Library Media Teachers and YA public librarians order books and other materials that will interest their young adult patrons. They also must help YAs find relevant and authoritative Internet resources. Helping this age group to become life-long learners and readers is a main objective of professionals in this library specialty.
- Outreach Librarians are charged with providing library and information services for underrepresented groups, such as people with disabilities, low income neighborhoods, home bound adults and seniors, incarcerated and ex-offenders, and homeless and rural communities. In academic libraries, outreach librarians might focus on high school students, transfer students, first-generation college students, and minorities.
- Instruction Librarians teach information literacy skills in face-to-face classes and/or through the creation of online learning objects. They instruct library users on how to find, evaluate and use information effectively. They are most common in academic libraries.

Experienced librarians may take administrative positions such as library or information center director. Similar to the management of any other organization, they are concerned with the long-term planning of the library, and its relationship with its parent organization (the city or county for a public library, the college/university for an academic library, or the organization

served by a special library). In smaller or specialized libraries, librarians typically perform a wide range of the different duties.

Salaries and benefits have improved somewhat in recent years, even in an era of budget tightening and reductions in operating expenses at many libraries. They can vary considerably depending upon the geographic region, the level of funding and support (it is usually better in major academic libraries and government facilities than it is in inner-city school or public libraries), the type of library (a small public or school library versus a large government or academic library), and the position (a beginning librarian versus a department head). Starting salaries at small public libraries can range from \$20,000-\$25,000; high profile positions like director or department head can approach or exceed \$100,000 at major academic and large government libraries and some public libraries. Librarians who are paid faculty salaries at a major university (especially if they have a second academic degree), who have an education degree at a school library, who are in administration at a library, or who are in a government library post tend to have higher incomes, especially with experience and better language and technical skills. Despite this, librarians are still wrongly perceived as low-level pink collar professionals. In reality, the technical competencies and information-seeking skills needed for the job are becoming increasingly important and are relevant to the contemporary economy, and such positions are thus becoming more prominent.

Representative examples of librarian responsibilities:

- Researching topics of interest for their constituencies.
- Referring patrons to other community organizations and government offices.
- Suggesting appropriate books (“readers’ advisory”) for children of different reading levels, and recommending novels for recreational reading.
- Facilitating and promoting reading clubs.
- Developing programs for library users of all ages and backgrounds.
- Managing access to electronic information resources.
- Building collections to respond to changing community needs or demands
- Writing grants to gain funding for expanded program or collections
- Digitizing collections for online access
- Answering incoming reference questions via telephone, postal mail, email, fax, and chat
- Making and enforcing computer appointments on the public access Internet computers.



Task Discuss the role of librarian in library in your view.

## 5.4 Departmentalization

**Departmentalization** refers to the process of grouping activities into departments.

Division of labour creates specialists who need coordination. This coordination is facilitated by grouping specialists together in departments.

A Few Common Types of Departmentalization:

- **Functional Departmentalization:** Grouping activities by functions performed. Activities can be grouped according to function (work being done) to pursue economies of scale

**Notes**

by placing employees with shared skills and knowledge into departments for example human resources, IT, accounting, manufacturing, logistics, and engineering. Functional departmentalization can be used in all types of organizations.

- **Product Departmentalization:** Grouping activities by product line. Tasks can also be grouped according to a specific product or service, thus placing all activities related to the product or the service under one manager. Each major product area in the corporation is under the authority of a senior manager who is specialist in, and is responsible for, everything related to the product line. LA Gear is an example of company that uses product departmentalization. Its structure is based on its varied product lines which include women's footwear, children's footwear and men's footwear.
- **Customer Departmentalization:** Grouping activities on the basis of common customers or types of customers. Jobs may be grouped according to the type of customer served by the organization. The assumption is that customers in each department have a common set of problems and needs that can best be met by specialists. The sales activities in an office supply firm can be broken down into three departments that serve retail, wholesale and government accounts.
- **Geographic Departmentalization:** Grouping activities on the basis of territory. If an organization's customers are geographically dispersed, it can group jobs based on geography. For example, the organization structure of Coca-Cola has reflected the company's operation in two broad geographic areas—the North American sector and the international sector, which includes the Pacific Rim, the European Community, Northeast Europe, Africa and Latin America groups.
- **Process Departmentalization:** Grouping activities on the basis of product or service or customer flow. Because each process requires different skills, process departmentalization allows homogenous activities to be categorized. For example, the applicants might need to go through several departments namely validation, licensing and treasury, before receiving the driver's license.



*Notes* Owing to the complexity of tasks and the competitive environment in which organisations operate, they often use a combination of the above-mentioned methods in departmentalization.

### Self Assessment

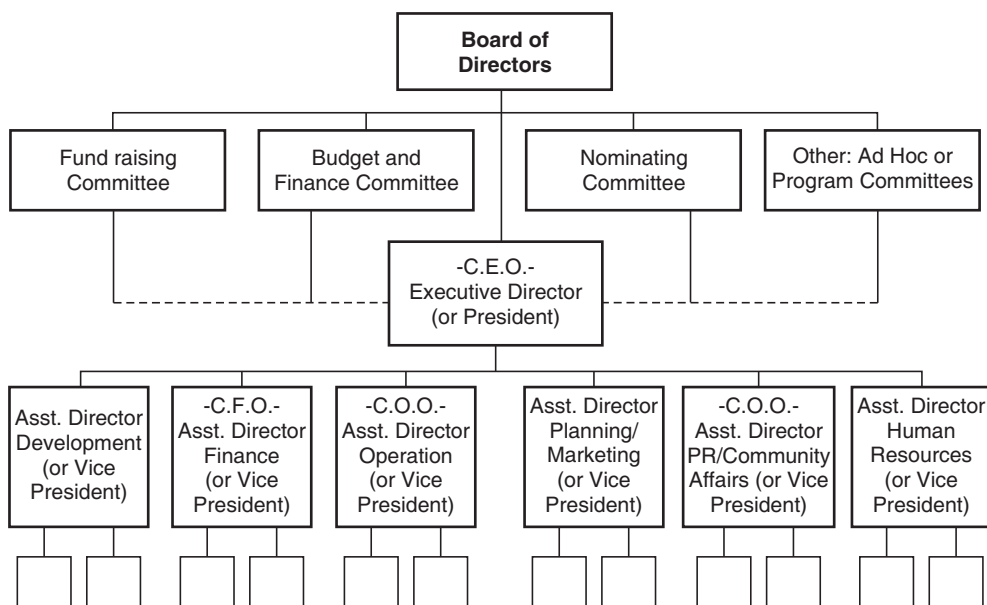
State whether true or false:

1. Library organization and library administration is not related to each other.
2. Administration include various elements, and organization is one of those elements.
3. Librarian is an information professional trained in library.
4. A fresher may take administrative position in library.

## 5.5 Organizational Charts

Notes

### Traditional Nonprofit Organizational Structure



## 5.6 Authority and its Decentralization Quality Circles and Matrix Structures

**Decentralization** or **decentralisation** is the process of dispersing decision-making governance closer to the people and/or citizens. It includes the dispersal of administration or governance in sectors or areas like engineering, management science, political science, political economy, sociology and economics. Decentralization is also possible in the dispersal of population and employment. Law, science and technological advancements lead to highly decentralized human endeavours.

A central theme in decentralization is the difference between:

- *A hierarchy, based on authority:* Two players in an unequal-power relationship; and
- *An interface:* A lateral relationship between two players of roughly equal power.

The more decentralized a system is, the more it relies on lateral relationships, and the less it can rely on command or force. In most branches of engineering and economics, decentralization is narrowly defined as the study of markets and interfaces between parts of a system. This is most highly developed as general systems theory and neoclassical political economy.

### Organizational Theory

Decentralization is the policy of delegating decision-making authority down to the lower levels in an organization, relatively away from and lower in a central authority. A decentralized organization shows fewer tiers in the organizational structure, wider span of control, and a bottom-to-top flow of decision-making and flow of ideas.

Notes



*Did u know?* In a centralized organization, the decisions are made by top executives or on the basis of pre-set policies. These decisions or policies are then enforced through several tiers of the organization after gradually broadening the span of control until it reaches the bottom tier.

In a more decentralized organization, the top executives delegate much of their decision-making authority to lower tiers of the organizational structure. As a correlation, the organization is likely to run on less rigid policies and wider spans of control among each officer of the organization. The wider spans of control also reduce the number of tiers within the organization, giving its structure a flat appearance. One advantage of this structure, if the correct controls are in place, will be the bottom-to-top flow of information, allowing decisions by officials of the organization to be well informed about lower tier operations. For example, if an experienced technician at the lowest tier of an organization knows how to increase the efficiency of the production, the bottom-to-top flow of information can allow this knowledge to pass up to the executive officers.

#### **Political Decentralization**

Political decentralization aims to give citizens or their elected representatives more power in public decision-making. It is often associated with pluralistic politics and representative government, but it can also support democratization by giving citizens, or their representatives, more influence in the formulation and implementation of policies. Advocates of political decentralization assume that decisions made with greater participation will be better informed and more relevant to diverse interests in society than those made only by national political authorities. The concept implies that the selection of representatives from local electoral constituency allows citizens to know better their political representatives and allows elected officials to know better the needs and desires of their constituents. Political decentralization often requires constitutional or statutory reforms, creation of local political units, and the encouragement of effective public interest groups.

#### **Administrative Decentralization**

Administrative decentralization seeks to redistribute authority, responsibility and financial resources for providing public services among different levels of governance. It is the transfer of responsibility for the planning, financing and management of public functions from the central government or regional governments and its agencies to local governments, semi-autonomous public authorities or corporations, or area-wide, regional or functional authorities. The three major forms of administrative decentralization—deconcentration, delegation, and devolution—each have different characteristics.

#### **Deconcentration**

Deconcentration is the weakest form of decentralization and is used most frequently in unitary states—redistributes decision-making authority and financial and management responsibilities among different levels of the national government. It can merely shift responsibilities from central government officials in the capital city to those working in regions, provinces or districts, or it can create strong field administration or local administrative capacity under the supervision of central government ministries.

## Fiscal Decentralization

## Notes

Dispersal of financial responsibility is a core component of decentralisation. If local governments and private organizations are to carry out decentralized functions effectively, they must have an adequate level of revenues—either raised locally or transferred from the central government—as well as the authority to make decisions about expenditures. Fiscal decentralization can take many forms, including:

- self-financing or cost recovery through user charges,
- co-financing or co-production arrangements through which the users participate in providing services and infrastructure through monetary or labor contributions;
- expansion of local revenues through property or sales taxes, or indirect charges;
- intergovernmental transfers that shift general revenues from taxes collected by the central government to local governments for general or specific uses; and
- authorization of municipal borrowing and the mobilization of either national or local government resources through loan guarantees.



*Notes* In many developing countries local governments or administrative units possess the legal authority to impose taxes, but the tax base is so weak and the dependence on central government subsidies so ingrained that no attempt is made to exercise that authority.

## Economic Decentralization

Privatization and deregulation shift responsibility for functions from the public to the private sector and is another type of decentralization. Privatization and deregulation are usually, but not always, accompanied by economic liberalization and market development policies. They allow functions that had been primarily or exclusively the responsibility of government to be carried out by businesses, community groups, cooperatives, private voluntary associations, and other non-government organizations.

### Privatization

Privatization can range in scope from leaving the provision of goods and services entirely to the free operation of the market to “public-private partnerships” in which government and the private sector cooperate to provide services or infrastructure. Privatization can include:

- allowing private enterprises to perform functions that had previously been monopolized by government;
- contracting out the provision or management of public services or facilities to commercial enterprises indeed, there is a wide range of possible ways in which function can be organized and many examples of within public sector and public-private institutional forms, particularly in infrastructure;
- financing public sector programs through the capital market (with adequate regulation or measures to prevent situations where the central government bears the risk for this borrowing) and allowing private organizations to participate; and
- transferring responsibility for providing services from the public to the private sector through the divestiture of state-owned enterprises.

Privatization cannot in the real sense be considered equivalent to decentralisation.

Notes

**Deregulation**

Deregulation reduces the legal constraints on private participation in service provision or allows competition among private suppliers for services that in the past had been provided by the government or by regulated monopolies. In recent years privatization and deregulation have become more attractive alternatives to governments in developing countries. Local governments are also privatizing by contracting out service provision or administration.

**5.7 Functional Organization of Libraries**

The Lithuanian Librarians' Association was established in 1931 and operated until 1941 as a voluntary and independent organisation bringing together the citizens of the Republic of Lithuania. The activities of the organisation were impeded during the occupation period since it was prohibited. However, it was re-established in 1991. The goals of re-established Association were the following:

- to develop librarianship as a separate science;
- to strengthen the role of libraries in the society;
- to develop research work;
- to promote professional development and raise the level of professional expertise of library staff;
- to make suggestions to the Government of the Republic of Lithuania and local authorities regarding the improvement of library work; and
- to develop international relations with analogous organisations in foreign countries.

The Lithuanian Librarians' Association is the organisation of natural persons that has 68 divisions all over Lithuania and combines over 2300 employees of various libraries—national, state, academic, public and special. It makes 38% of all Lithuanian librarians. The Association has been involved in close co-operation with the associations of research and public libraries (both from counties and municipalities).

The supreme authority of the Association is the General Assembly that is organised once in every three years. The assembly elects a chairman and a board comprised of 15 representatives in total. It also approves a statute and operational programme for three-year period; the revision commission is also elected. The Association conference is convened each year. The elected board that also closely co-operates with various divisions and co-ordinates their activity operates between congresses. The board is comprised of working groups responsible for the work of research, public and school libraries, professional development and international relations. A representative responsible for relations with seniors, i.e. longterm library employees that are no longer employed in libraries, is also incorporated into the board. 80 % of Lithuanian Librarians' Association members are public libraries staff. They also have a decisive opinion in this organisation because these libraries still encounter with the most painstaking problems in the country.



Task What is the role of administration in the organization of library?

**LLA initiatives**

One of the most important initiatives of the Lithuanian Librarians' Association was the Programme on Lithuanian Public Libraries Modernisation for 2003–2013 approved by the Government of the Republic of Lithuania aiming at:

- elimination of structural differences of information access between town and periphery and offering of equal possibilities for all residents of Lithuania to use information in order to meet their social and public requirements;
- allowing public libraries to collect, store and disseminate cultural heritage and make it as accessible as possible.

The programme has been appointed the amount of LTL 313 Mio and is currently under revision; moreover, the financial expression of library construction and reconstruction, possibilities of collection acquisition, technology modernisation rates, etc. should be revised this year as well. 80% of expenses for construction and reconstruction of municipality public libraries will be financed by this programme; whereas municipalities themselves will fund the rest 20%. Considering the fact how insufficient financing public and especially municipality libraries receive for acquisition, i.e. renewal of collections, in Autumn 2004 the Lithuanian Librarians' Association organised the Act of Candles: in the evening all Lithuanian libraries (almost four thousand in total) switched the lights off for five minutes and lighted up the candles in order to symbolise the darkness that was going to swallow the country; thus, it would get behindhand, if the authorities neglected libraries. The act attracted attention from the press, radio, TV and other media and contributed to better financing of libraries later.

Another aim of this modernisation programme lays in guaranteeing access to the Internet and electronic catalogue LIBIS in all public libraries. In early 2006 the Government of the Republic of Lithuania enacted a resolution regarding the revision of this programme; as a results, the construction of libraries and renovation of collections in the Lithuanian public libraries should be accelerated. One of the essential current objectives of the Lithuanian Librarians' Association is the constant dialogue with the Government and the Seimas of the Republic of Lithuania in order to solve the most painstaking problem of libraries, i.e. wages and salaries of library staff. This year the wages of library staff were successfully increased by 20%. It was a really heavy discussion with the Government and the Seimas that involved even the members of the EU Parliament. The preparation of a programming document providing all necessary information about the ways of employment of the EU Structural Funds support and its co-ordination with the European Commission were one of the essential conditions for Lithuania to receive support from the EU Structural Funds after becoming an EU member. At present the Single Programming Document for 2007-2013 has been already prepared. As far as this paper is concerned it is worth mentioning that the representatives of LLA also participated in the main working groups responsible for making suggestions to the preparation of this strategic document. Due to their efforts the funds appointed for culture and education were successfully increased.

The new programming period will be launched at 2008 and it will be possible to subject any project related to:

- development of computer infrastructure within cultural institutions;
- creation of e-content and e-services;
- improvement of computer abilities; and
- creation of continuously learning regions on the basis of existing centres.

Another focus of the Lithuanian Librarians' Association is the National Library Week that has been already organised for six times. It always takes place on 23<sup>rd</sup> to 30<sup>th</sup> of April. This year the event was dedicated to the promotion of reading and invited to "Read. Cognise. Enjoy". A special poster was published on the occasion of the event and distributed to all libraries.



## Self Assessment

Fill in the blanks:

5. A different kind of classification system, called a .....
6. Library organization and ..... are closely related to each other.
7. The Lithuanian Librarians' association was established in ..... and operated until .....
8. The supreme authority of the association is the general assembly that is organized once in every .....

### 5.8 Summary

- 'Organizing' literally, is a process of doing work or making arrangement for work, while 'organization' is a structure in which the work takes place.
- Library organization and library administration are closely related to each other. The distinction between the two is very subtle. Organization comes before administration.
- An organizational structure is a way of describing the relationships among groups and individuals in an organization.
- A **librarian** is an information professional trained in library and information science, which is the organization and management of information services or materials for those with information needs.
- **Departmentalization** refers to the process of grouping activities into departments.
- **Decentralization** or **decentralisation** is the process of dispersing decision-making governance closer to the people and/or citizens.
- Decentralization is the policy of delegating decision-making authority down to the lower levels in an organization.
- Privatization and deregulation shift responsibility for functions from the public to the private sector and is another type of decentralization.
- The Lithuanian Librarians' Association was established in 1931 and operated until 1941 as a voluntary and independent organisation bringing together the citizens of the Republic of Lithuania.
- The supreme authority of the Association is the General Assembly that is organised once in every three years. The assembly elects a chairman and a board comprised of 15 representatives in total.

### 5.9 Keywords

<b>Cataloging</b>	: Labelling.
<b>Academic</b>	: Educational.
<b>Enterprise</b>	: Venture.
<b>Egalitarian</b>	: Democratic
<b>Constituency</b>	: Electorate.

## 5.10 Review Questions

Notes

1. What is organization?
2. Define departmentalization.
3. Define product departmentalization.
4. Write a short note on decentralization.
5. Write the purpose and need for organizing.
6. Write a short note on library and society.
7. Discuss on Organization vs. Administration.
8. What is the main aim of political decentralization?
9. Elaborately discuss on organizational charts.
10. Write a short note on Deconcentration.
11. Discuss on LLA initiatives.

## Answers: Self Assessment

- |                                  |                           |
|----------------------------------|---------------------------|
| 1. False                         | 2. True                   |
| 3. True                          | 4. False                  |
| 5. faceted classification system | 6. library administration |
| 7. 1931, 1941                    | 8. three years            |

## 5.11 Further Readings



- Books**
- Effective Library and Information Centre Management*, Bryson, Jo., Hants: Gower, 1990.
- Planning Budget in Libraries, New Delhi*: Faruqi, Khalid, K.ed., Anmol Pub, 1997.
- Library Management of Staff Training and Development, Delhi*: Iyer, V.K. Rajat, 1999.



- Online links**
- [http://skuastkashmir.ac.in/index.php?option=com\\_content&view=article&id=198](http://skuastkashmir.ac.in/index.php?option=com_content&view=article&id=198)
- <http://www.citeman.com/1230-the-nature-and-purpose-of-organizing.html>
- [http://en.wikipedia.org/wiki/Organizational\\_structure](http://en.wikipedia.org/wiki/Organizational_structure)
- <http://www.studentscholarships.org/salary/373/librarians.php>
- <http://www.syfes.com>

## Unit 6: Human Resource Management

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### Objectives

After studying this unit, you will be able to:

- Know about the staffing
- Explain the HRM strategy
- Describe the job definitions
- Discuss about the recruitment.

### Introduction

Human Resource Management (HRM) is the function within an organization that focuses on recruitment of, management of, and providing direction for the people who work in the organization. Human Resource Management can also be performed by line managers. Human Resource Management is the organizational function that deals with issues related to people such as compensation, hiring, performance management, organization development, safety, wellness, benefits, employee motivation, communication, administration, and training.

Human Resource Management is also a strategic and comprehensive approach to managing people and the workplace culture and environment. Effective HRM enables employees to contribute effectively and productively to the overall company direction and the accomplishment of the organization's goals and objectives. Human Resource Management is moving away from traditional personnel, administration, and transactional roles, which are increasingly outsourced. HRM is now expected to add value to the strategic utilization of employees and

that employee programs impact the business in measurable ways. The new role of HRM involves strategic direction and HRM metrics and measurements to demonstrate value.

## 6.1 Staffing

Human Resource Management (HRM, HR) is the management of an organization's employees. This includes employment and arbitration in accord with the law, and with a company's directives.

### 6.1.1 Features

- Organizational management
- Personnel administration
- Manpower management
- Industrial management.

But these traditional expressions are becoming less common for the theoretical discipline. Sometimes even employee and industrial relations are confusingly listed as synonyms, although these normally refer to the relationship between management and workers and the behavior of workers in companies. The theoretical discipline is based primarily on the assumption that employees are individuals with varying goals and needs, and as such should not be thought of as basic business resources, such as trucks and filing cabinets.

Human Resource Management (HRM) is seen by practitioners in the field as a more innovative view of workplace management than the traditional approach. Its techniques force the managers of an enterprise to express their goals with specificity so that they can be understood and undertaken by the workforce and to provide the resources needed for them to successfully accomplish their assignments. As such, HRM techniques, when properly practiced, are expressive of the goals and operating practices of the enterprise overall. HRM is also seen by many to have a key role in risk reduction within organisations.

Synonyms such as personnel management are often used in a more restricted sense to describe activities that are necessary in the recruiting of a workforce, providing its members with payroll and benefits, and administrating their work-life needs. So if we move to actual definitions, Torrington and Hall (1987) define personnel management as being:



*Notes* "A series of activities which: first enable working people and their employing organisations to agree about the objectives and nature of their working relationship and, secondly, ensures that the agreement is fulfilled".

### 6.1.2 Academic Theory

Research in the area of HRM has much to contribute to the organizational practice of HRM. For the last 20 years, empirical work has paid particular attention to the link between the practice of HRM and organizational performance, evident in improved employee commitment, lower levels of absenteeism and turnover, higher levels of skills and therefore higher productivity, enhanced quality and efficiency. This area of work is sometimes referred to as 'Strategic HRM' or SHRM. Within SHRM three strands of work can be observed: Best practice, Best Fit and the Resource Based View (RBV).

Notes

The notion of best practice—sometimes called ‘high commitment’ HRM—proposes that the adoption of certain best practices in HRM will result in better organizational performance. Perhaps the most popular work in this area is that of Pfeffer who argued that there were seven best practices for achieving competitive advantage through people and ‘building profits by putting people first’. These practices included: providing employment security, selective hiring, extensive training, sharing information, self-managed teams, and high pay based on company performance and the reduction of status differentials. However, there is a huge number of studies which provide evidence of best practices, usually implemented in coherent bundles, and therefore it is difficult to draw generalized conclusions about which is the ‘best’ way (For a comparison of different sets of best practices see Becker and Gerhart, 1996).

Best fit, or the contingency approach to HRM, argues that HRM improves performance where there is a close vertical fit between the HRM practices and the company’s strategy. This link ensures close coherence between the HR people processes and policies and the external market or business strategy. There are a range of theories about the nature of this vertical integration. For example, a set of ‘life cycle’ models argue that HR policies and practices can be mapped onto the stage of an organization’s development or life cycle. Competitive advantage models take Porter’s (1985) ideas about strategic choice and map a range of HR practices onto the organization’s choice of competitive strategy. Finally ‘configuration models’ provide a more sophisticated approach which advocates a close examination of the organisation’s strategy in order to determine the appropriate HR policies and practices. However, this approach assumes that the strategy of the organisation can be identified - many organisations exist in a state of flux and development.

The Resource Based View (RBV), argued by some to be at the foundation of modern HRM, focuses on the internal resources of the organisation and how they contribute to competitive advantage. The uniqueness of these resources is preferred to homogeneity and HRM has a central role in developing human resources that are valuable, rare, and difficult to copy or substitute and that are effectively organized. Overall, the theory of HRM argues that the goal of human resource management is to help an organization to meet strategic goals by attracting, and maintaining employees and also to manage them effectively. The key word here perhaps is “fit”, *i.e.*, a HRM approach seeks to ensure a fit between the management of an organization’s employees, and the overall strategic direction of the company (Miller, 1989).

The basic premise of the academic theory of HRM is that humans are not machines; therefore we need to have an interdisciplinary examination of people in the workplace. Fields such as psychology, industrial relations, industrial engineering, sociology, economics, and critical theories: postmodernism, post-structuralism play a major role.



*Did u know?* Many colleges and universities offer bachelor and master degrees in Human Resources Management or in Human Resources and Industrial Relations.

One widely used scheme to describe the role of HRM, developed by Dave Ulrich, defines 4 fields for the HRM function:

- Strategic business partner
- Change agent
- Employee champion
- Administration expert.

### 6.1.3 Business Practice

Notes

Human resources management involves several processes. Together they are supposed to achieve the above mentioned goal. These processes can be performed in an HR department, but some tasks can also be outsourced or performed by line-managers or other departments. When effectively integrated they provide significant economic benefit to the company.

- Workforce planning
- Recruitment (sometimes separated into attraction and selection)
- Induction, orientation and on boarding
- Skills management
- Training and development
- Personnel administration
- Compensation in wage or salary
- Time management
- Travel management (sometimes assigned to accounting rather than HRM)
- Payroll (sometimes assigned to accounting rather than HRM)
- Employee benefits administration
- Personnel cost planning
- Performance appraisal
- Labor relations.

## 6.2 HRM Strategy

An HRM strategy pertains to the means as to how to implement the specific functions of Human Resource Management. An organization's HR function may possess recruitment and selection policies, disciplinary procedures, reward/recognition policies, an HR plan, or learning and development policies; however all of these functional areas of HRM need to be aligned and correlated, in order to correspond with the overall business strategy.



*Notes* An HRM strategy thus is an overall plan, concerning the implementation of specific HRM functional areas.

An HRM strategy typically consists of the following factors:

- “Best fit” and “best practice” meaning that there is correlation between the HRM strategy and the overall corporate strategy. As HRM as a field seeks to manage human resources in order to achieve properly organizational goals, an organization's HRM strategy seeks to accomplish such management by applying a firm's personnel needs with the goals/objectives of the organisation. As an example, a firm selling cars could have a corporate strategy of increasing car sales by 10% over a five-year period. Accordingly, the HRM strategy would seek to facilitate how exactly to manage personnel in order to achieve the 10% figure. Specific HRM functions, such as recruitment and selection, reward/recognition, an HR plan, or learning and development policies, would be tailored to achieve the corporate objectives.

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- Close co-operation between HR and the top/senior management, in the development of the corporate strategy. Theoretically, a senior HR representative should be present when an organization's corporate objectives are devised. This is so, since it is a firm's personnel who actually construct a good, or provide a service. The personnel's proper management is vital in the firm being successful, or even existing as a going concern. Thus, HR can be seen as one of the critical departments within the functional area of an organization.
- Continual monitoring of the strategy, via employee feedback, surveys, etc.

The implementation of an HR strategy is not always required, and may depend on a number of factors, namely the size of the firm, the organizational culture within the firm or the industry that the firm operates in and also the people in the firm. An HRM strategy can be divided, in general, into two facets the people strategy and the HR functional strategy. The people strategy pertains to the point listed in the first paragraph, namely the careful correlation of HRM policies/actions to attain the goals laid down in the corporate strategy. The HR functional strategy relates to the policies employed within the HR functional area itself, regarding the management of persons internal to it, to ensure its own departmental goals are met.

### 6.2.1 Functions

The Human Resources Management (HRM) function includes a variety of activities, and key among them is deciding the staffing needs of an organization and whether to use independent contractors or hire employees to fill these needs, recruiting and training the best employees, ensuring they are high performers, dealing with performance issues, and ensuring your personnel and management practices conform to various regulations. Activities also include managing your approach to employee benefits and compensation, employee records and personnel policies. Usually small businesses (for-profit or nonprofit) have to carry out these activities themselves because they can't yet afford part- or full-time help. However, they should always ensure that employees have and are aware of personnel policies which conform to current regulations. These policies are often in the form of employee manuals, which all employees have.

The HRM function and HRD profession have undergone major changes over the past 20–30 years. Many years ago, large organizations looked to the "Personnel Department," mostly to manage the paperwork around hiring and paying people. More recently, organizations consider the "HR Department" as playing an important role in staffing, training and helping to manage people so that people and the organization are performing at maximum capability in a highly fulfilling manner.



*Task* Explain the functions and responsibilities of HR department in a company.

## 6.3 Job Definitions

A job analysis is the process used to collect information about the duties, responsibilities, necessary skills, outcomes, and work environment of a particular job. You need as much data as possible to put together a job description, which is the frequent outcome of the job analysis. Additional outcomes include recruiting plans, position postings and advertisements, and performance development planning within your performance management system.

The job analysis may include these activities:

- reviewing the job responsibilities of current employees,
- doing Internet research and viewing sample job descriptions online or offline highlighting similar jobs,

- analyzing the work duties, tasks, and responsibilities that need to be accomplished by the employee filling the position,
- researching and sharing with other companies that have similar jobs, and
- articulation of the most important outcomes or contributions needed from the position.

### 6.3.1 Selection

Selection is the process of evaluating the qualifications, experience, skill, knowledge, etc. of an applicant in relation to the requirements of the job to determine his suitability for the job. The selection procedure is concerned with securing relevant information from applicants and selecting the most suitable among them, based on an assessment of how successful the employee would be in the job, if he were placed in the vacant position. The selection process has two basic objectives: (a) To predict which applicant would be the most successful if selected for the job, and (b) To sell the organization and the job to the right candidate. The selection process is based on the organizational objectives, the job specification and the recruitment policy of the organization. The various selection processes are initial screening, application forms, selection tests, group discussions, interviews and reference checks.

To facilitate a near accurate prediction of an applicant's success on the job, the selection methods should meet several generic standards of reliability, validity, generalizability, utility and legality. The application form is a formal record of an individual's application for employment. It is usually used in the preliminary screening of job applicants. The filled-in application forms provide pertinent information about the individual and are used in the job interview and for reference checks to determine the applicant's suitability for employment. There are two methods of evaluating these forms the clinical method and the weighted method. Selection tests, which are widely used, include intelligence tests, aptitude tests, achievement tests, situational tests, interest tests, and personality tests.

Interviews help managers to fill the gaps in the information obtained through the application blanks and tests. Interviews also enable the management to make an impact on the job applicant's view of the organization, apart from assessing his job-related behavior and attitude. Interviews may be classified as preliminary, selection and decision-making, based on their timing and purpose. The process of interviewing consists of several steps such as preparation for the interview, ensuring a setting, and conducting, closing and evaluating. The selection process also uses background investigation or reference checks to check the authenticity of the information provided by the applicant. Finally, after an applicant is selected, the offer is made to him and on acceptance, the placement process starts.

## 6.4 Recruitment

Recruitment is the process of seeking and attracting the right kind of people to apply for a job in an organization. Recruitment in any organization is effected by various internal and external factors. Internal factors include the recruitment policy, time and cost constraints etc. External factors include the situation in the economy, the job market, the industry etc. The recruitment policy of an organization effectively defines and determines the pattern, the sources and the methods of recruitment of the firm. A good recruitment policy is based on the organization's objectives, complies with the government policy, and results in successful placements in the organization at the minimum cost and time. It provides the basic framework in the form of guidelines, procedures and sources for recruitment. A good recruitment policy has to be flexible and proactively respond to the changing market situations.



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*Did u know?* There are various sources of recruitment available for an organization. The organization has to choose the most suitable ones depending on its recruitment needs and its recruitment policy. The different sources are internal sources and external sources like campus recruitments, advertisements, employment agencies, etc.

The organization has to take into consideration the relevance and effectiveness of each source before selecting the sources for its recruitment program. Recruitment strategies, objectives, policies and the sources and methods need to be evaluated continuously to ensure their alignment with corporate strategies, objectives, and policies. The effectiveness and efficiency of the recruitment tools and sources can also be evaluated from time to time and changes made, to match the current and future recruitment needs of the organization.

### Self Assessment

State whether true or false:

1. HRM is stand for Human Resource Manager.
2. RBV is stand for Resource Based view.
3. A widely used scheme to describe the role of HRM, developed by Dave Ulrich.
4. HRM involves very much processes.
5. Job analysis is the process used to collect information about the duties, responsibilities, necessary skills, etc.
6. Interviews help managers to fill the gaps in the information obtained through the application blanks and tests.

### 6.5 Summary

- Human Resource Management (HRM) is the function within an organization that focuses on recruitment of, management of, and providing direction for the people who work in the organization.
- Human Resource Management (HRM, HR) is the management of an organization's employees.
- Research in the area of HRM has much to contribute to the organizational practice of HRM.
- An HRM strategy pertains to the means as to how to implement the specific functions of Human Resource Management.
- A job analysis is the process used to collect information about the duties, responsibilities, necessary skills, outcomes, and work environment of a particular job.
- Interviews help managers to fill the gaps in the information obtained through the application blanks and tests.

## 6.6 Keywords

Notes

- HRM** : Human Resource Management.
- Commitment** : The state or quality of being committed to a cause, policy or person.
- Interdisciplinary** : Relating to more than one branch of knowledge.
- Pertain** : Be appropriate, related or applicable to.
- Preliminary** : Preceding or done in preparation for something fuller or more important.

## 6.7 Review Questions

1. What is meant by Human Resource Management (HRM)?
2. Explain the features of HRM.
3. What do you mean by HRM strategy?
4. Define the job analysis.
5. What is recruitment process?
6. Write the functions of HRM.

## Answers: Self Assessment

- |         |          |
|---------|----------|
| 1. True | 2. True  |
| 3. True | 4. False |
| 5. True | 6. True  |

## 6.8 Further Readings



- Books**
- Planning Library Buildings, New Delhi:* Faruqi, Khalid, K. Anmol Pub, 1998.
- Stock verification in Libraries: Problems and Solutions, Delhi:* Gupta, S.R., Ken Publications, 1990.
- Library Management of Staff Training and Development, Delhi:* Iyer, V.K. Rajat, 1999.



- Online links**
- <http://www.managementstudyguide.com/human-resource-management.htm>
- <http://www.simplehrguide.com/hr-strategy.html>
- [http://en.wikipedia.org/wiki/Job\\_analysis](http://en.wikipedia.org/wiki/Job_analysis)
- <http://recruitment.naukrihub.com/recruitment-process.html>

## Unit 7: Training and Development Motivation

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### Objectives

After studying this unit, you will be able to:

- Know about the role of HRD professionals in training
- Explain the techniques of job enrichment
- Describe the appraisal of library staff
- Discuss the issues of staff appraisal in academic libraries.

### Introduction

The HR functioning is changing with time and with this change, the relationship between the training function and other management activity is also changing. The training and development activities are now equally important with that of other HR functions. Gone are the days, when training was considered to be futile, waste of time, resources, and money. Now a day, training is an investment because the departments such as, marketing and sales, HR, production, finance, etc., depends on training for its survival. If training is not considered as a priority or not seen as a vital part in the organization, then it is difficult to accept that such a company has effectively carried out HRM. Training actually provides the opportunity to raise the profile development activities in the organization.

To increase the commitment level of employees and growth in quality movement, senior management team is now increasing the role of training. Such concepts of HRM require careful planning as well as greater emphasis on employee development and long-term education. Training is now the important tool of Human Resource Management to control the attrition rate because it helps in motivating employees, achieving their professional and personal goals, increasing the level of job satisfaction, etc. As a result training is given on a variety of skill development and covers a multitude of courses.

## 7.1 Role of HRD Professionals in Training

This is the era of cut-throat competition and with this changing scenario of business; the role of HR professionals in training has been widened. HR role now is:

- Active involvement in employee education
- Rewards for improvement in performance
- Rewards to be associated with self esteem and self worth
- Providing pre-employment market oriented skill development education and post employment support for advanced education and training
- Flexible access *i.e.*, anytime, anywhere training.

## 7.2 Job Enrichment

**Job enrichment** is an attempt to motivate employees by giving them the opportunity to use the range of their abilities. It is an idea that was developed by the American psychologist Frederick Herzberg in the 1950s. It can be contrasted to job enlargement which simply increases the number of tasks without changing the challenge. As such job enrichment has been described as 'vertical loading' of a job, while job enlargement is 'horizontal loading'. An enriched job should ideally contain:

- A range of tasks and challenges of varying difficulties (Physical or Mental)
- A complete unit of work—a meaningful task
- Feedback, encouragement and communication.

### 7.2.1 Techniques

Job enrichment, as a managerial activity includes a three steps technique:

1. Turn employees' effort into performance:

- Ensuring that objectives are well-defined and understood by everyone. The overall corporate mission statement should be communicated to all. Individual's goals should also be clear. Each employee should know exactly how he/she fits into the overall process and be aware of how important their contributions are to the organization and its customers.
- Providing adequate resources for each employee to perform well. This includes support functions like information technology, communication technology, and personnel training and development.
- Creating a supportive corporate culture. This includes peer support networks, supportive management, and removing elements that foster mistrust and politicking.
- Free flow of information. Eliminate secrecy.

**Notes**

- Provide enough freedom to facilitate job excellence. Encourage and reward employee initiative. Flexitime or compressed hours could be offered.
  - Provide adequate recognition, appreciation, and other motivators.
  - Provide skill improvement opportunities. This could include paid education at universities or on the job training.
  - Provide job variety. This can be done by job sharing or job rotation programmes.
  - It may be necessary to re-engineer the job process. This could involve redesigning the physical facility, redesign processes, change technologies, simplification of procedures, elimination of repetitiveness, redesigning authority structures.
2. Link employees performance directly to reward:
- Clear definition of the reward is a must
  - Explanation of the link between performance and reward is important
  - Make sure the employee gets the right reward if performs well
  - If reward is not given, explanation is needed
3. Make sure the employee wants the reward. How to find out?
- Ask them
  - Use surveys( checklist, listing, questions).

### **7.2.2 Outsourcing**

Human resource management is the one process that makes sure that the passion and zeal of the employees stays put throughout their tenure in the organization. It may seem very easy to keep the motivation and performance up at all times as well as make sure that the cost per employee is maintained at the lowest. Well, it so is not! Not one bit. Hence, many organizations, as per current trends, outsource certain HR processes just to make sure that a certain degree of decentralization of work is maintained.

### **7.2.3 Compensation Packages**

Considering that the firm takes care of the recruitment for the organization, they also work out the compensation packages. One has to admit, money is the most obvious and basic motivation for any employee, whether they admit it or not. So the package has to be crafted well! Ordinarily, the organization provides the firm with the general per employee budget. In accordance to that budget, the firms works out the basic salary, incentives, health benefits, conveyance allowances, dearness allowance and probation policies. It is not a very simple task considering that there are several central and state policies to adhere by whilst each of these are decided.

### **7.2.4 Motivation and Morale Strategies**

During the employees tenure, there are many times when there is a requirement to egg them on a little bit, to push their performance toward the better. As such every organization, big or small, follows strategies that govern the general motivation and morale boosting activities. These activities cannot be conducted in any organization by outside entities. As such the strategic are sculpted by the firm and the implementation is done by the in house HR executives. In case, it is a very exuberant event, like a conference, then the firm joins hands with the in house executives and manager for the implementation as well. But, this differs from deal to deal.

### 7.2.5 Exit Interviews

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During the tenure of the employee, a record of their performance and behavior is maintained. This record, under most circumstances, is also kept with the firm. During the end of tenure for any reason, like retirement, resignation or termination, these details are referred to. The firm conducts the exit interview, which, is mandatory for any corporate. This is the last phase in the cycle of the association between the firm and the organization regarding that employee.

## 7.3 Appraisal of Library Staff

In the digital world nowadays when information is readily available on the Internet, it is the people who make a library different from the search engines. Libraries need staff that can cope with the changing learning needs of users. Quality staff performance appraisals, if they are used in a developmental sense, can be powerful tools to this end. That is, if they are used as an assessment for learning, not an assessment of learning. This paper attempts to first define staff performance appraisals, then to discuss their purposes and values. Some common problems of appraisal, such as rating errors, will be presented.



*Notes* Examples of how some academic libraries address the quality issue of staff appraisals will also be illustrated. Finally, recommendations will be provided on how these current practices can be improved.

### 7.3.1 What is Staff Appraisal?

In the Dictionary of Human Resource Management (2001), appraisal is defined as “the process of evaluating the performance and assessing the development/training needs of an employee.” This definition entails two aspects. The first is judgmental; that is, the staff’s performance is measured against certain standards. The second is developmental; that is, no positive or negative judgment will be involved, but to identify the training needs of the staff and to find out what can be done to improve related skills and knowledge.

Partington and Stainton (2003) present three important purposes of performance appraisal. First, it furnishes recognition for the meritorious aspects of the staff member’s performance. Second, it alerts the staff member to the degrees of improvement needed in any weaker aspect of his/her performance. And third, it prioritizes the aspects of performance in which improvement is needed.



*Did u know?* Many benefits can be derived from development-oriented staff appraisal. Partington and Stainton (2003) suggest that, “Staff appraisal provides the means by which enhanced communication between staff and senior colleagues can determine systematic identification of roles, tasks, targets and training plans for individuals, which support departmental and institutional goals.”

Staff appraisal reports can be used as reinforcement for staff learning and development. An effective appraisal encourages two-way communication and improves mutual understanding. Seeing from the organizational point of view, since goal setting and future plans are involved, appraisal can be a tool to identify individual staff needs and how they can be linked to the organizational management and future planning for training and development. Specific actions

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and plans can then be suggested as to how individuals could improve. Seeing from the individual's point of view of hearing encouragement instead of judgment, the motivation to improve can be enhanced and job satisfaction can be increased. Appraisal can also be an opportunity to reflect on their accomplishments and achievements.

### 7.3.2 Issues of Staff Appraisal in Academic Libraries

#### *Common Problems*

Many academic libraries carry out staff performance appraisal annually. Yet in some libraries, it is not uncommon that staff members do not take staff appraisal seriously enough. Appraisal sometimes ends up being just another annual task to be finished by the deadline. It is done because it is necessary, and once done, it will be out of sight, out of mind. Let us now take a look at the examples of some common problems.

Most academic libraries adopt the centralized appraisal form issued by their universities. As Prentice (2005) describes, "The centrally devised rating form provides a general assessment but does not address differences in activities or applications from unit to unit." The job nature of library staff members is, in fact, different from other academic and administrative units of the university. Even internally, the nature of work is very different between reader services and technical services. Clearly, the one-for-all type appraisal form designed to serve a general purpose will not be able to adequately reflect the specificity of skills and knowledge performed by the library staff.

Rating scales are commonly found in the appraisal form used in academic libraries. Some are used in appraising supporting staff only, while some are used for all categories of staff. However, the quantitative "categoric" forms, such as grades, marks, ranks, percentages and levels, are always a criticism of appraisals. As Broadfoot (1998) points out, "It constitutes a powerful inhibitory force to the development of the understandings and practices that are increasingly being called for in the post-modern 'learning age' and it has 'profoundly influenced learners' confidence and self-esteem.'" Although Broadfoot's advocacy is in the education sector, the call for a change in concepts of "to learn, not to measure" is also applicable in the library context. Being ranked or to rank a colleague are both embarrassing. The author has the experience of receiving staff members transferred to her from other departments. These staff were said to be under-performing and were unwelcome by their supervisors, yet surprisingly their appraisal reports were much better than what was said about them. This indicates that not all appraisers give true accounts in the written appraisal report. In order to avoid argument, appraisers sometimes do not truthfully reflect the weaknesses of an appraisee. Some appraisers believe that they have no right to stand in judgment and may just give a higher ranking to the appraisee to keep everybody happy. Some appraisers may want to keep a good relationship with the appraisee so as to get his/her cooperation in future collaborative activities, as they may fear that senior management will consider the lack of cooperation as the appraiser's inability to deal with problem staff.

A number of common rating errors have been frequently cited. These include leniency, which refers to the tendency to give appraises higher ranks than they deserve. Severity is opposite to leniency; it is to give appraises lower ratings than what they should get. Central tendency is to choose the middle point in any range of scale to play safe, but cannot illustrate effectively the staff's actual performance. Halo effect is the tendency to judge the appraisee's performance by only one particular aspect. Similarity or contrast error is the tendency to give people who are more similar to the appraiser a higher ranking or vice versa. Stereotyping is to pre-judge a person's performance on the basis of general beliefs about characteristics such as gender, age and race. Another problem of appraisal is that every appraiser has their own standards of

judgment. It is thus difficult to obtain a fair evaluation across. Appraisee A, who is being rated as “Good” by Appraiser X may in fact out perform Appraisee B, who is being rated as “Excellent” by Appraiser Y.

### ***Planning and Implementation***

Not every library requires appraisers to work out the performance objectives with appraisees in a separate exercise in advance. This is, in fact, not fair to the supervisees as they do not know how they are going to be assessed in the following year. Besides, with no set targets to evaluate against, the appraisal will normally be based on some single incidents or just the general impression of the staff. The Library of the City University of Hong Kong requires supervisors to discuss with staff and set performance objectives or targets in the beginning of the year as a standard for the next appraisal to base on. Although extra work will be required from the appraisers, such practice should be encouraged as it will involve a higher level of staff participation and interaction in the process and enhance the effectiveness of the appraisal.

Partington and Stainton (2003) have shared another issue. It is said that “Staff currently still see little or no link between the appraisal process and the formulation and achievement of departmental and institutional plans, the identification of and provision for continuing professional development.” Most libraries link the staff appraisal to staff training and development. However, the link is often too loose. Appraisers may be required to put down in the appraisal form their recommendation of staff training and development. Nevertheless, there is often no detailed account of how the recommendation will be followed up and by whom it will be taken care of. There is usually no mechanism to guide appraisers to follow up the appraisal. Besides, appraisees themselves may not agree with the training needs. Some may not be interested in the training and development suggested; others may not be able to afford time to attend training programmes.



*Notes* In reality, even though the appraisees also recognize that their performance is unsatisfactory and want to improve, there may not be suitable learning opportunities available.

### ***Effectiveness***

Appraisal can be powerful and influential if it is used for reinforcement and disciplinary decisions, such as staff promotion, crossing of efficiency bar and pay raises, as well as termination of contract. Yet in reality, appraisal is rarely the major determinant. For example, no matter how the appraisal of a contract term staff may be, the contract may not be renewed if the budget does not allow. And for libraries that are still adopting the system of annual incremental salary increase, a regular term staff member may still get the additional salary point as long as he/she has not reached the maximum point of the salary scale. Not all libraries have measures to follow up what has been written in the appraisal report or there is no consequence of unsatisfactory performance. Some appraisees do not care very much what the appraiser says, as they know the report will not be followed up by any substantial action and it makes no differences to their position. As quoted in the Dictionary of Human Resource Management (2001), “There are management cynics in every workplace who view appraisal as an unnecessary bureaucratic exercise which takes them away from their ‘real’ work. Similarly, there are cynical employees who view appraisal as an unnecessary hoop they have to jump through every year because it makes no difference to how they undertake their work or the opportunities they are given.”



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**Recommendations**

To foster an effective staff appraisal system, a few measures should be considered.

**Training of Appraiser**

The first key to a successful appraisal system is the appraiser. The appraisers must be able to see the values of the appraisal exercise and good training for appraisers is, therefore, essential. Carrying out staff appraisal and evaluation each year should not be treated as just a regular routine, and it is certainly not a formality. As Byars (2004) remarks, “A more promising approach to overcoming errors in performance appraisals is to improve the skills of raters.” Pynes (2004) also claims that “Training can improve raters’ documentation and counseling skills, thereby not only reducing their discomfort but also enabling them to help employees understand and acknowledge their own strengths and areas that need improvement.” Although most personnel offices of universities issue guidelines for staff appraisals, they are usually too general and do not cater to the specific needs of libraries. Thus, libraries should design an in-house guideline and provide adequate and specific training to appraisers. Appraisers should be trained to be open-minded, honest, positive and skillful in addressing staff members’ capabilities and competences. Clear guidelines and effective training system should be developed for appraisers to reasonably report the strengths and weaknesses of the appraisee and make logical and fair recommendation as to how the appraisee can be assisted in an improvement plan. Most of all, the appraisers should be guided to appraise the work performed, not the person.



Task What should be the recruitment procedure in a company? Write in your own words.

**The Appraisal Form**

Libraries would benefit more if the tool for the appraisal—the appraisal form—is tailor-made to suit its own situation and specific needs. In view of the specific job nature of library staff, libraries should design their own appraisal form or modify the central form to tailor for each group of staff to accurately and effectively reflect the important aspects of the performance evaluation. As mentioned earlier, the nature of work is quite different between reader services and technical services, so if libraries could customize the performance evaluation standards for different categories of staff, so much the better. It is believed that open-ended questions probing for detailed accounts are more useful than a rating scale. A rating scale often gives appraisers the excuse to just check the boxes without giving their comments. Open-ended questions avoid the embarrassment caused by rating and invite staff to present their viewpoints in their own words. It is also important that negative words such as “barriers” and “obstacles” should not be used in the questions; especially barriers and obstacles, in many cases, are largely related to the limited resources or heavy workload instead of the appraisee’s ability and motivation.

**Setting Objectives**

Another key to a successful staff appraisal system is the communication of expectations. The appraisal is a tool for the senior management to envision the staff to share the institutional mission of the university, as well as the specific goal and purpose of the library. Objectives

should, therefore, be clearly identified and communicated. Appraisers should first explicitly let staff know what the expectations are and then provide a development plan for how to meet these expectations as well as necessary support. For the appraisal to be effective, apart from institutional support, staff participation and interaction are essential in setting the objectives and measurable targets, as well as drafting the standards and guidelines for evaluation. A serious but positive and in-depth appraisal interview with semi-structured questions should be carried out before the report is drafted. As Cole (2002) has suggested, "Where openness and participation are encouraged, any system will be discussed first with those involved, with the result that appraisals are more likely to be joint problem-solving affairs rather than a 'calling to account' by a superior." Interim discussion sessions with continuous follow up and revision of the staff's training and development needs should be arranged and should focus on communication, sharing, feedback and coaching. This arrangement also allows appraisees more time to improve/develop towards the objectives set.

### **Staff Development**

As Jordan (2002) criticizes, "Appraisal may be seen as 'form-dominated' and staffs see the exercise as one of form-filling." This is because appraisal is often done as a one-off exercise. In fact, effective appraisal should be continuous and developmental. As it has been emphasized, appraisal should be an assessment for learning. Focus should be put more on motivation, satisfaction, development and improvement than individual performance. Just evaluating individual strengths and weaknesses or the output of particular tasks does not help the library much. What the library needs is to aim at a cultural change through the staff development system and explore ways and give suggestions of follow-up actions to help staff improve their knowledge and working attitude and as a result, facilitate good performance. A strategic staff development plan should be the target of each appraisal. Yet any plan is bound to fail if it is not followed through.



*Did u know?* The development plan should state specifically what actions will be taken if the proposed plan does not work out.

Many academic libraries rely on the central training programmes organized by the Human Resources Department of their universities. These courses are usually catered for non-specific audiences. Of course, general topics such as customer services, supervisory skills and management are beneficial to all staff of any unit. Yet library staff members particularly need more specific training that is related to library services and development, collection and resources, user behaviour and needs, knowledge management, management of change and professionalism. Libraries are thus advised to carry out systematic staff needs assessment, directly response to the learning needs of staff members and organize specific tailor made development programmes.

Another way to reflect more accurately staff members' performance and potential would be to implement a job rotation scheme for staff. In some academic libraries, staff may have worked under the same supervisor for a long time. As their performances are always assessed by the same appraiser, problems of inaccuracy and biased assessment such as rating errors, if any, are likely to retain. With an organized and systematic job rotation arrangement, staff members will have the chance to work in different positions and apply different knowledge and skills. There will be an accumulation of comments written by different appraisers. To be appraised by more than one appraiser may achieve a more truthful appraisal and biased judgment can then be avoided. For libraries where no scheduled job rotation is arranged, managers may make use of the chances when staff members from various departments work

**Notes**

together in projects and tasks beyond their everyday responsibilities. It is, indeed, an excellent opportunity for project leaders to appraise any staff member involved. One advantage is that the staff member will receive comments from an appraiser who is not his/her own line manager. Furthermore, many projects involved tasks such as project management, liaison and coordination, publicity, reception, editing, publishing and public speaking, are totally different from the daily routine tasks staff members are handling. Performance appraisal in this regard could reveal a staff's potential in areas other than their regular library duties. Thus, management may be able to explore potentials of staff members that are unaware of previously.

### **Self Assessment**

Fill in the blanks:

1. HRM stands for ..... .
2. Job enrichment was developed by the American psychologist Frederick Herzberg in the ..... .
3. Partington and Stainton (2003) present ..... important purposes of performance appraisal.

### **7.4 Summary**

- To increase the commitment level of employees and growth in quality movement, senior management team is now increasing the role of training.
- **Job enrichment** is an attempt to motivate employees by giving them the opportunity to use the range of their abilities. It is an idea that was developed by the American psychologist Frederick Herzberg in the 1950s.
- In the digital world nowadays when information is readily available on the Internet, it is the people who make a library different from the search engines.
- In the Dictionary of Human Resource Management (2001), appraisal is defined as “the process of evaluating the performance and assessing the development/training needs of an employee.”
- Many academic libraries carry out staff performance appraisal annually. Yet in some libraries, it is not uncommon that staff members do not take staff appraisal seriously enough.
- Not every library requires appraisers to work out the performance objectives with appraisees in a separate exercise in advance.
- The first key to a successful appraisal system is the appraiser. The appraisers must be able to see the values of the appraisal exercise and good training for appraisers is, therefore, essential.
- As Jordan (2002) criticizes, “Appraisal may be seen as ‘form-dominated’ and staffs see the exercise as one of form-filling.”

## 7.5 Keywords

Notes

<b>Implement</b>	: Execute.
<b>Monitor</b>	: Scrutinize.
<b>Strategy</b>	: Tactic.
<b>Aptitude</b>	: Ability.
<b>Motivate</b>	: Induce.
<b>Appraisal</b>	: Assessment.

## 7.6 Review Questions

1. Brief out job enrichment.
2. Write the role of HRD professionals in training.
3. Explain the techniques in job enrichment.
4. Explain the issues of staff appraisal in academic libraries.
5. What is a morale strategy?
6. Define the staff appraisal.

## Answers: Self Assessment

1. Human Resource Management
2. 1950s
3. three

## 7.7 Further Readings



- Books**
- Effective Library and Information Centre Management*, Bryson, Jo., Hants: Gower, 1990.
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- Online links**
- <http://academicwritingtips.org/component/k2/item/>
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## Unit 8: Leadership

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### Objectives

After studying this unit, you will be able to:

- Know the activities and qualities of libraries managers
- Understand the creativity and innovation
- Explain the linking innovation and operations.

### Introduction

A leader must be able to communicate effectively. When CEOs and other senior executives in all industries and countries are asked to list the most important skills a manager must possess, the answer consistently includes good communication skills. Managers spend most of their day engaged in communication; in fact, older studies of how much time managers spend on various activities show that communication occupies 70 to 90 percent of their time every day.

With cell phones, e-mail, text messaging, if that same study were done today, it would yield even higher percentages. The sheer amount of time managers spend communicating underscores how important strong communication skills can be for the manager desiring to advance to leadership positions; thus, mastering leadership communication should be a priority for managers wanting their organizations or the broader business community to consider them leaders.

Researchers seldom agree completely on how best to define leadership, but most would agree that leaders are individuals who guide, direct, motivate, or inspire others. They are the men and women who influence others in an organization or in a community. They command others' attention. They persuade others to follow them or pursue goals they define. They control situations. They improve the performance of groups and organizations. They get results. These individuals may not be presidents of countries or the CEOs of companies, but they could be. They could also be employees who step forward to mentor less experienced or younger employees, managers who direct successful project teams or vice presidents who lead divisions and motivate their staff to achieve company goals.



*Notes* Through effective communication, leaders lead. Good communication skills enable, foster, and create the understanding and trust necessary to encourage others to follow a leader. Without effective communication, a manager accomplishes little. Without effective communication, a manager is not an effective leader.

## **8.1 Activities and Qualities of Libraries Managers**

The increasing expectations of users have challenged libraries to improve their quality of services. Limited by increasingly tighter budgetary restrictions, library managers feel more pressure to fully exploit available resources. Therefore, several libraries and information services have adopted quality management practices in recent years. Among the various initiatives implemented include ISO 9000 standards (Johannsen 1996), 5S movement (Taipei Municipal Library 1996), and benchmarking (Zairi and Hutton 1995; Garrod and Kinnell 1996; Garrod and Kinnell 1997; Buchanan and Marshall 1996). By adopting quality management, the library's image and service quality can be improved, and librarians can increase productivity while focusing on the customer's needs. Quality management has been extensively applied within the manufacturing industry for over a decade. More recently, the service industry has increasingly emphasized this area. The public sector has also put forward major initiatives to improve quality. Closely examining available quality management techniques in service industries and the public sector reveals their effectiveness and positive impact on the customers. Quality management is increasingly integrated into library services, following their perceived success in manufacturing industries, with particular emphasis on improving service quality.

Libraries have developed numerous programs to fulfill user requirements. In general, libraries concentrate mainly on maintaining administrative activities, building the collection, and serving the users. Therefore, the functions of a library can be broadly categorized as administrative management, technical services and public services. Administrative management defines the objectives of the library, allocates the resources to achieving such objectives, co-ordinates related activities, and assesses the performance of related services. Technical services largely focus on building the collection and making the collection more accessible for users. The activities of technical services include acquisition, information organisation, and preservation. While all library activities strive to, public services serve the customers most directly. Related activities consist of circulation, reference and access service.

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Library services can be viewed as an open system with materials, resources and information needs of customers as input. In other words, the activities involved in providing and using library services are more interrelated than isolated. Depicts the interaction within a totally integrated library system. While the library only exists for serving customers, the service delivery system should be user-oriented. Although all functions and activities focus on customers, the direct interaction between library and customers occurs in public services. That is, librarians working in circulation, reference and access service respond and translate the customer's expectations to the technical service department and administrative management. Depending on the ability of public services to accurately interpret customer requirements, all functions of the library can be directed to satisfying the quality requirements and information needs of customers.

**8.1.1 Quality Management Approaches**

Quality management approaches can be categorized broadly into three stages according to the evolution of management control. Management can implement control before an activity commences, while the activity occurs, or after the activity has been completed. Consequently, three types of control are feed forward, concurrent and feedback. The most desirable type of management control is feed forward control that is future-directed and takes place in advance of the actual activity. Feed forward control is advantageous because it allows management to prevent anticipated problems rather than having to cure them later and to avoid wasting resources. Concurrent control, as its name implies, takes place while an activity is in progress. When control is enacted while the activity is being performed, management can correct problems before they become too costly. The most conventional means of control relies on feedback. The feedback control takes place after the activity. However, a disadvantage of this approach is that the damage will have already occurred by the time that the manager has the information to take corrective actions. Consequently, feed forward control is the most economic approach and can meet the requirement of customers, followed by concurrent control and feedback control, respectively.



*Did u know?* Interestingly, quality management approaches developed and applied to assess and improve product quality can be related to types of management control from the perspective of an open system.

Quality management approaches were originally developed as being product-oriented. Feedback control, an inspection-based quality control approach, was introduced to detect inferior products at the after-production stage. Realizing that quality could not be improved by merely inspecting the finished product, subsequent efforts switched the emphasis of quality management from inspection to process control: from feedback control stage to concurrent control stage. The underlying premise regarding quality in the concurrent control stage is that quality is equivalent to meeting or exceeding customer expectations. Manufacturing products that reflect the diverse needs of customers, is more of a function of good design than of good control of a process. Therefore, quality management has gradually shifted to emphasis on the design phase: from concurrent control stage to feed forward control stage. In the following, we discuss the three approaches of quality management and related techniques.

**8.1.2 Quality by Inspection**

The inspection-based system was perhaps the first scientifically designed quality control system to evaluate quality. The system is applied to incoming raw materials and parts for use as

inputs for production and/or finished products. Under this system, some quality characteristics are examined, measured and compared with required specifications to assess conformity. Therefore, the inspection-based system is a screening process that merely isolates conforming from non-conforming products without having any direct mechanism to reduce defects. Reducing the damage to final products, sampling plans were developed to control product quality. Although an effective technique, a quality control system based on sampling inspection does not directly achieve customer satisfaction and continuous improvement. Producing fewer defects through process improvement is the only means of reducing defects.

### 8.1.3 Quality by Process Control

Defects inevitably add to the production cost and waste resources. Therefore, a business strives for zero defects. The quality management system based on sampling inspections has been replaced by the approach of continuously improving the process. This concept, as pioneered by Deming, moves from detecting defects to preventing them and continuing with process improvement to meeting and exceeding customer requirements on a continuous basis. The continuous cycle of process improvement is based on the scientific method for addressing problems, commonly referred to as the Deming cycle. Deming's approach consists of four basic stages:

1. a plan of what to do;
2. do or carry out the plan;
3. study what has done; and
4. act to prevent errors or improve the process. The planning stage consists of studying the current situation, gathering data, and planning for improvement. Related activities include:
  - (a) defining the process, its inputs, outputs, customers, and suppliers;
  - (b) understanding customer expectations;
  - (c) identifying problems;
  - (d) testing theories of causes; and
  - (e) developing solutions.

In the do stage, the plan is implemented on a trial basis to evaluate a proposed solution and provide objective data. The study stage determines whether or not the trial plan is working correctly and if any further problems or opportunities are identified. In the final stage, act, the final plan is implemented and the improvements become standardized and implemented continuously.

The Deming Cycle can enhance communication between the staff involved and help employees to use the wheel to improve processes. Some of the specific tools used to improve processes are control charts, process capability studies, seven tools, seven new tools, and seven creativity tools. However, the appropriate tools must be applied for the specified purpose. For example, cause-and-effect diagrams and process flow charts could be more appropriate during the planning stage of the Deming wheel, whereas control charts may be most appropriate during the stage of checking.

### 8.1.4 Quality by Design

The Deming approach shifted the focus of quality management a step back from inspection to process control. The approach of quality by design makes a further step back from process to design. By definition, Quality by design implies that quality must be built in early in the



**Notes**

development and design stage. By doing so, the final product can satisfy the customers. Two important techniques for designing quality products are quality function deployment (QFD) and Failure Mode and Effect Analysis (FMEA).

Quality function deployment is a structured approaches that:

- (a) identifies and ranks the relative importance of customer requirements;
- (b) identifies design parameters (or engineering characteristics) that contribute to the customer requirements;
- (c) estimates the relationship between design parameters and customer requirements and among different design parameters; and
- (d) sets target values for the design parameters to best satisfy customer requirements.

AQFD matrix (or house of quality) is frequently used to translate prioritized customer requirements into identifiable and measurable product specifications and engineering requirements to reduce functional variation and costs, thereby facilitating the decision-makers in making design related decisions. Many investigators have successfully applied QFD in product and service design.

Failure Mode and Effect Analysis is a methodical approach to examine a proposed design for possible ways in which failure can occur (Juran 1989, 1993). FMEA consists of:

- (a) identifying and listing modes of failure and the subsequent faults;
- (b) assessing the probability of these faults;
- (c) assessing the probability that the faults are detected;
- (d) assessing the severity of the consequences of the faults;
- (e) calculating a measure of the risk;
- (f) ranking the faults on the basis of the risk;
- (g) attempting to resolve the high-risk problems; and
- (h) verifying the effectiveness of the action by using a revised measure of risk (Gilchrist 1993).



*Notes* In addition to providing preliminary information on reliability prediction, product and process design, FMEA helps engineers identify potential problems in the product earlier, thereby avoiding costly changes or reworks at later stages.

Closely scrutinizing quality management reveals that many techniques are based on experience derived from manufacturing tangible products. Whether or not quality management practices can be transferred to a service industry delivering intangible services has received considerable attention. Many investigators confer that:

- (a) the service and manufacturing industries differ in terms of the characteristics of quality,
- (b) different criteria must be used for measuring these industries, and
- (c) the focus of quality management is rather different than similar.

The final manufacturing products can be measured objectively, while the quality can be managed by output control. Meanwhile, the deliverables of services are frequently intangible, which is difficult to measure objectively. In addition to the simultaneously delivery and consumption of services, the quality certainly cannot be managed by either output control or process control.

Brophy and Coulling (1996) indicated that with the broad applications in the service sector, the sector has come to the recognition that some aspects of quality management must be approached somewhat differently in the service industry. The most distinguishing characteristic

between service and manufacturing industries is that in the former, there is usually a direct interaction between the customer and the service. Libraries and information services have intensive direct interaction and also indirect contact with the customers. Because of the immediacy of the interface, libraries must develop their own framework when integrating quality management approaches into libraries.

### 8.1.5 Framework of Quality Management Approaches in Libraries

Having different characteristics, library services require special approaches of quality management that go beyond the simple adoption of manufacturing techniques for a product. Quality management related to library functions can be viewed in three phases: before service, during service, and after service. Library services ultimately focus on satisfying the information needs of customers. Before services are provided, the technical service departments should have required books and information resources collected and value-added to enhance their value to the customers. Therefore, the customer-oriented library should regard technical services as resource development system to ensure that every customer has resources properly acquired, organised, displayed or accessed. Having direct contact with customers, the public services should be regarded as information service delivery system and focus on providing information to customers accurately, promptly, and responsively to help customers solve problems, and build up customers' knowledge and ultimately enhance their productivity. Administrative management should be regarded as the service support system to coordinate and allocate resources as well as provide support for technical services and public services to satisfy customers' needs, and to evaluate service performance periodically and to continuously improve service quality.

### 8.1.6 Resource Development System

Largely concerning itself with backstage activities, a resource development system is the off-line preparation for public services and has no direct contact with customers. For services in which the customer need not be present, the service transaction can be de-coupled and standardized. For example, acquisition is considered to be a customized service. Convenient access to Web-accessible public access catalogue, however, has weaned customers from present interaction with live librarians to interaction via online purchase request and, consequently, only routine order preparation and communication is required. Most activities related to technical services have technical and procedural standards to follow, accounting for why each function is characterised by a high routine and process-orientation. International or domestic rules govern the cataloguing, classification, and information organisation. In addition, standardized practices also exist for acquisition and preservation, *e.g.*, how order requests are to be formulated and transmitted. In fact, many practices in technical services are standardized by actual work routines and formalized based on a detailed and systematic study during library automation. Therefore, the quality management of a resource development system should emphasise the concurrent control of process to ensure that all books and resources have been accurately collected, accessed and value-added appropriately. Quality by process control is the best quality management strategy for a resource development system.



Task Explain some extra activities and qualities of libraries managers.

Notes

**8.1.7 Information Service System**

The information service system is a service delivery system that has direct contact with customers. In circulation, access and reference services, the customer often serves as the co-producer and works with the librarians and the library system to produce a final product which enhances knowledge, skills, or promotes the enjoyment of leisure activities. The service encounter is always initiated by the customer. Therefore, the major function of an information service system is dynamic and customer-oriented. Because of direct interaction with public service librarians, customers require the service to be done right the first time and to be consistent every time. Consequently, quality by design is the best quality management strategy for information service system. Quality management tools that can be applied are quality function deployment, failure mode and effect analysis, and service blueprinting which is specially designed for effectively managing the service encounter.

Reference service has direct encounters with customers, and the service quality depends highly on the performance of the reference librarians and their interactions with customers. Therefore, the design of reference service can adopt the techniques of quality function deployment. Chang and Hsieh (1996) proposed a modified framework of quality function deployment for reference service, as shown in figure 4. There are four phases to facilitate communicating service requirements from the customer to the activities related to quality management of reference service delivery. The first phase is to identify the customer's needs and requirements. The second phase is to define the service requirements and design the co-service system so that the right quality is built in from the very beginning of service design. The third phase consists of process planning which is a matter of selecting the co-service process "best" producing what the customer needs. Phase four involves the planning of the quality management activities. It emphasises translating reference processes into quality management activities in order to ensure quality both before and during the reference encounter.

The first task of applying QFD to reference services is to identify customer needs, which are descriptions in the customer's own words of the benefits they want the reference services to provide. The opinions posted on the library web site or BBS (Bulletin Board System), customer complaints, records of reference interviews, previous user studies, and so on, will all contribute to the list of customer needs. In reference services, the primary customer needs might be categorized as "good employees," "right answers" and "nice environment." In order to manage the customer needs, the primary needs need to be structured into a hierarchy. For example, the primary need for "good employee" might be elaborated as "good attitude" and "good skills" in serving customers. And the "good attitude" is subdivided into "kind and polite," "does not have to wait," "assists users in looking up information," and "properly dressed." Each customer need is, then, to be met in terms of professional terminology—that is, service requirements. For example, the words "kind and polite" express the customer's concept, but librarians need these words translated into their vocabulary in order to actually build a service delivering standards and quality management activities. In delivering reference service, "kind and polite" may be described in terms of the responsiveness, approachability, attentiveness, and courtesy. The service requirements of reference services translated from customer needs might be grouped into answer, process, and environment, using an Affinity Diagram. For example, the quality of answer might be evaluated according to two perspectives—results and sources. And the quality of source might be evaluated according to the indicators of credibility, acceptability, accessibility and availability. After the service requirements have been identified and prioritised, the most important requirements must be linked to reference process to design the co-service system to satisfy the customer needs.

### 8.1.8 Service Support System

Notes

The performance of a customer-oriented library should be evaluated on the basis of quality and quantity. Quantitative evaluation in terms of output measure is the basic element of a statistical report, which is mainly prepared for accountability not for improving service. Meanwhile, customer satisfaction significantly contributes to improving service quality. Based on the evaluation results, the service support system should allocate resources to those services that customers deem as having low satisfaction. In practice, the SERVQUAL model, critical incident techniques and benchmarking can be used to evaluate and improve service quality in library services.

Parasuraman, Zeithaml, and Berry (1985) developed a multiple-item scale called SERVQUAL for measuring the five dimensions of service quality (*i.e.*, reliability, responsiveness, assurance, empathy, and tangibles). A score for the quality of service is calculated by computing the differences between the ratings that customers assign to paired expectation and perception of each of twenty-two statements. This instrument has been designed and validated for use in a variety of service encounters. In addition, many investigators have adapted the SERVQUAL measures to evaluate the service quality of libraries.

Critical incident techniques can be used to analyse the service encounters between the customer and librarians. Customers and employees are interviewed separately to describe their experiences of the service experience. By doing so, the cause of success or failure of the service encounter can be analysed; the critical factors of service encounters can be identified as well.



*Did u know?* Correspondingly, staff training and development courses can be designed to enhance the capacity of librarians and library instruction. Moreover, information literacy programs can be designed to equip the capacity of customers.

## 8.2 Creativity and Innovation

Creativity is the nature of creating something new, a new idea, concept or method. Innovation is using creativity to enhance performance of a process, person, team or organization.

Businesses, for-profit and nonprofit, are facing change like never before. Numerous driving forces to this change included a rapidly expanding marketplace (globalization), and increasing competition, diversity among consumers, and availability to new forms of technology. Creativity and innovation are often key to the success of a business, particularly when strategizing during strategic planning, and when designing new products and services. Creative thinking and innovation are particularly useful during Strategic Planning and in Product and Service Management.

### 8.2.1 Leading Innovation

Innovation is a hot topic these days. From what I have seen, organizations have been outsourcing innovation for the last 10–15 years. It began with a reliance on ad agencies and then shifted to “design” companies like IDEO and JUMP. Now the business airwaves and media announce the need for more innovation, faster and more radical than ever before, and the literature of full of “how to innovate” books and articles.

It seems easy to say we want to innovate, but it feels like going over Niagara Falls in a barrel, you are leaving all you know behind for a visit to Chaos. Confronted by all the mystery and

**Notes**

disorder that precedes innovation, our challenge as leaders is to help people make meaning of the journey. As Dee Hock describes, “Making good judgments and acting wisely when one has complete data, facts, and knowledge [control] is not leadership. It’s not even management. It’s bookkeeping. Leadership is the ability to make wise decisions, and act responsibly upon them when one has little more than a clear sense of direction and proper values; that is, a perception of how things ought to be, an understanding how they are, and some indication of the prevalent forces driving change.” In this sense, innovation is the end product of a disruptive cycle of Adaptive Change.

To innovate is to intentionally let go of the “way things are” and welcome “the way they could be.” Breakdown is the first step toward innovation, an intentional release of established habits of thought, expectations, assumptions, and beliefs in order to embrace “not knowing”. The concept of surfing the “edge of chaos” sounds exciting until you get there and leave control at the door. In Adaptive Change we call this the Fall.

Fortunately, Breakdown doesn’t last. As we confront the mess, we naturally make meaning of it, allowing order and Breakthroughs to emerge—the “ah-ha” moments that we love to experience. The journey from Breakdown to Breakthrough, the Cauldron of Change, is a period of stress (high enough to motivate and mobilize, and potentially immobilize), uncertainty, and unpredictability. There is no clear way forward; we are reduced to trial-and-error experimentation. This is a period that requires a rapid and straightforward learning cycle, one that encourages experimentation and taking smart risks as you learn your way forward. Sense-Test-Adapt, a biomimetic cycle that is just what it says, propels you forward as order emerges from the chaos. The faster you cycle the faster you learn.

Breakthroughs get you out of Chaos and into Complexity—you are half way home but you are still not “in control”. Complexity requires Imagination, which takes you beyond creativity and taps into mystery. Mystery allows us to explore “things in our environment that excite our curiosity but elude our understanding. In the complex domain hunches and ah-has pull us forward by removing extraneous information and linking up ideas to form a system of inquiry. In this way novelty is morphed into a myriad of possibilities.

With all these possibilities we begin to follow our hunches to their logical conclusions, picking one or two and applying all our knowledge, know-how, technology, etc. to understand them. In this way we make the imagined “real”, manifest as products, programs, services, and art. Making “manifest” is the phase I call Innovation. Innovation without the journey through chaos and mystery is evolutionary at best, incremental most often. Innovation as the conclusion of the full cycle is revolutionary, tapping into our most creative spaces and pulling forth something remarkably different from where we started.

### **8.2.2 Do’s for Leading Innovation**

Foster an environment of imagination, exploration, acceptable risk, and “what ifs.” Meet the Devil’s Advocate at the door and refuse them entry. Give people time to think, toys to spark off, and diverse partners to play with. The resource needs and costs of Innovation rise over time. Resources that drive early innovation, Breakdown, Breakthrough, and Imagination, are mainly emotional and psychological support. No leader can afford to ignore these intangible costs for the foreseeable future.

### **8.2.3 Linking Innovation and Operations**

Development is hard pressed to interface with operations. Yet it is extremely important that this interface be workable because developments are not relevant until they find their way

into operations. This is the “reason for being” of development; to have new systems and adaptive processes and structures integrated, in the long run, to foster organizational performance and adaptation.

#### 8.2.4 What’s the Differences?

An operation is charted to preserve the status quo, the current thinking and methods. Operations assumes this status quo as a “given” and works within current procedures to improve them and “operationalize” them with a high degree of efficiency. In most operations the problem is clear and solutions are knowable. Fast response is an overriding value in executing a “fix” and getting the operation back online.

Development, on the other hand is a constructive conspiracy. It is the development function, who’s job it is to replace the current ways of doing things, with new tools and assumptions more in line with changing business and organizational conditions. Development is rife with ambiguity; it is a searching and learning process. The overriding value is gaining commitment to change.

Innovation and Development is fragile, complex and conceptual. Nothing kills it faster than premature exploitation- rushing to capitalize on it too soon. Development is not charted but it is navigable, it is a learned activity in action where hunches are tested and theory is developed in the process of action. The context of development is uncertainty. Operations on the other hand, work to reduce uncertainty to a program, an operational term.

#### 8.2.5 Learning it while Doing it

Operations are based in control. Developments emerge and are always subject to un- intended consequences in action as development is moved toward its purpose. One of the themes of these essays is that developments are realized through the process of development, it is in effect learned in the process of doing it.

Usually there is not a great deal of organizational understanding and support for doing this. An often operation does not see the need or understand the purpose of the development itself. For this reason, development needs protection at a certain stage. Protection and understanding go hand in hand. As the development is understood the protection can be loosened which is necessary to gain the institutional support for prioritizing the resources for more disciplined development.

Boundary management means the protection and support of a differentiated development culture and the managed change of this culture when appropriate. Boundary management is a continual effort of judgment and balance because technical organizations optimize performance and their activities are always influenced by demands and feedback from a variety of sources in the global environment. Establishing and managing boundaries is both necessary and problematic.

### Self Assessment

State whether true or false:

1. A leader must be able to communicate effectively.
2. Libraries have developed numerous program to fulfill user requirements.
3. Defects inevitably subtract to the production cost from waste resources.

Notes

4. Quality by process control is the best quality management strategy for a resource development system.
5. The information service system is a service delivery system that has not direct contact with customers.

### **8.3 Summary**

- A leader must be able to communicate effectively. When CEOs and other senior executives in all industries and countries are asked to list the most important skills a manager must possess, the answer consistently includes good communication skills.
- The increasing expectations of users have challenged libraries to improve their quality of services.
- Quality management approaches can be categorized broadly into three stages according to the evolution of management control.
- The inspection-based system was perhaps the first scientifically designed quality control system to evaluate quality.
- The Deming approach shifted the focus of quality management a step back from inspection to process control.
- The information service system is a service delivery system that has direct contact with customers.
- The performance of a customer-oriented library should be evaluated on the basis of quality and quantity.
- Creativity is the nature of creating something new, a new idea, concept or method. Innovation is using creativity to enhance performance of a process, person, team or organization.

### **8.4 Keywords**

- Pursue*** : Follow.
- Exploit*** : Take advantage of.
- Scrutinize*** : Examine.
- Mystery*** : A handicraft or trade.
- Premature*** : Occurring or done before the proper time.

### **8.5 Review Questions**

1. Write the four basic stages of Deming's approach.
2. Define the information service system.
3. Write the activities and qualities of libraries managers.
4. Write a short note on quality by inspection.
5. What is creativity?

## Answers: Self Assessment

Notes

1. True
2. True
3. False
4. True
5. False

## 8.6 Further Readings



- Books**
- Effective Library and Information Centre Management*, Bryson, Jo., Hants: Gower, 1990.
- Planning Budget in Libraries*, New Delhi: Faruqi, Khalid, K.ed., Anmol Pub, 1997.
- Planning Library Buildings*, New Delhi: Faruqi, Khalid, K. Anmol Pub, 1998.



- Online links**
- <http://managementhelp.org/leadership/index.htm#anchor292589>
- <http://ifl.sagepub.com/content/21/4/265.extract>



## Unit 9: Entrepreneurship and Interpersonal Communication

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### Objectives

After studying this unit, you will be able to:

- Explain the entrepreneurship
- Describe the interpersonal communication
- Discuss the communication channels.

### Introduction

**Entrepreneurship** is a process through which individuals identify opportunities, allocate resources, and create value. This creation of value is often through the identification of unmet needs or through the identification of opportunities for change. Entrepreneurs see “problems” as “opportunities,” then take action to identify the solutions to those problems and the customers who will pay to have those problems solved. Entrepreneurial success is simply a function of the ability of an entrepreneur to see these opportunities in the marketplace, initiate change (or take advantage of change) and create value through solutions.

## 9.1 Entrepreneurship

Notes

**Entrepreneurship** is the act of being an entrepreneur, which can be defined as “one who undertakes innovations, finance and business acumen in an effort to transform innovations into economic goods”. This may result in new organizations or may be part of revitalizing mature organizations in response to a perceived opportunity. The most obvious form of entrepreneurship is that of starting new businesses (referred as Startup Company); however, in recent years, the term has been extended to include social and political forms of entrepreneurial activity. When entrepreneurship is describing activities within a firm or large organization it is referred to as intra-preneurship and may include corporate venturing, when large entities spin-off organizations. According to Paul Reynolds, entrepreneurship scholar and creator of the Global Entrepreneurship Monitor, “by the time they reach their retirement years, half of all working men in the United States probably have a period of self-employment of one or more years; one in four may have engaged in self-employment for six or more years. Participating in a new business creation is a common activity among U.S. workers over the course of their careers.” And in recent years has been documented by scholars such as David Audretsch to be a major driver of economic growth in both the United States and Western Europe.

Entrepreneurial activities are substantially different depending on the type of organization and creativity involved. Entrepreneurship ranges in scale from solo projects (even involving the entrepreneur only part-time) to major undertakings creating many job opportunities. Many “high value” entrepreneurial ventures seek venture capital or angel funding (seed money) in order to raise capital to build the business. Angel investors generally seek annualized returns of 20–30% and more, as well as extensive involvement in the business. Many kinds of organizations now exist to support would-be entrepreneurs including specialized government agencies, business incubators, science parks, and some NGOs. In more recent times, the term entrepreneurship has been extended to include elements not related necessarily to business formation activity such as conceptualizations of entrepreneurship as a specific mindset (see also entrepreneurial mindset) resulting in entrepreneurial initiatives *e.g.*, in the form of social entrepreneurship, political entrepreneurship, or knowledge entrepreneurship have emerged.



**Notes** The entrepreneur is a factor in microeconomics, and the study of entrepreneurship reaches back to the work of Richard Cantillon and Adam Smith in the late 17th and early 18th centuries, but was largely ignored theoretically until the late 19th and early 20th centuries and empirically until a profound resurgence in business and economics in the last 40 years.

In the 20th century, the understanding of entrepreneurship owes much to the work of economist Joseph Schumpeter in the 1930s and other Austrian economists such as Carl Menger, Ludwig von Mises and Friedrich von Hayek. In Schumpeter, an entrepreneur is a person who is willing and able to convert a new idea or invention into a successful innovation. Entrepreneurship employs what Schumpeter called “the gale of creative destruction” to replace in whole or in part inferior innovations across markets and industries, simultaneously creating new products including new business models. In this way, creative destruction is largely responsible for the dynamism of industries and long-run economic growth. The supposition that entrepreneurship leads to economic growth is an interpretation of the residual indigenous growth theory and as such is hotly debated in academic economics. An alternate description posited by Israel Kirzner suggests that the majority of innovations may be much more incremental improvements such as the replacement of paper with plastic in the construction of a drinking straw.

## Notes

For Schumpeter, entrepreneurship resulted in new industries but also in new combinations of currently existing inputs. Schumpeter's initial example of this was the combination of a steam engine and then current wagon making technologies to produce the horseless carriage. In this case the innovation, the car, was transformational but did not require the development of a new technology, merely the application of existing technologies in a novel manner. It did not immediately replace the horse drawn carriage, but in time, incremental improvements which reduced the cost and improved the technology led to the complete practical replacement of beast drawn vehicles in modern transportation. Despite Schumpeter's early 20th-century contributions, traditional microeconomic theory did not formally consider the entrepreneur in its theoretical frameworks (instead assuming that resources would find each other through a price system). In this treatment the entrepreneur was an implied but unspecified actor, but it is consistent with the concept of the entrepreneur being the agent of x-efficiency.

Different scholars have described entrepreneurs as, among other things, bearing risk. For Schumpeter, the entrepreneur did not bear risk: the capitalist did.

For Frank H. Knight (1921) and Peter Drucker (1970) entrepreneurship is about taking risk. The behavior of the entrepreneur reflects a kind of person willing to put his or her career and financial security on the line and take risks in the name of an idea, spending much time as well as capital on an uncertain venture. Knight classified three types of uncertainty.

- Risk, which is measurable statistically (such as the probability of drawing a red color ball from a jar containing 5 red balls and 5 white balls).
- Ambiguity, which is hard to measure statistically (such as the probability of drawing a red ball from a jar containing 5 red balls but with an unknown number of white balls).
- True Uncertainty or Knightian Uncertainty, which is impossible to estimate or predict statistically (such as the probability of drawing a red ball from a jar whose number of red balls is unknown as well as the number of other colored balls).

The acts of entrepreneurship are often associated with true uncertainty, particularly when it involves bringing something really novel to the world, whose market never exists. However, even if a market already exists, there is no guarantee that a market exists for a particular new player in the cola category.

The place of the disharmony-creating and idiosyncratic entrepreneur in traditional economic theory (which describes many efficiency-based ratios assuming uniform outputs) presents theoretic quandaries. William Baumol has added greatly to this area of economic theory and was recently honored for it at the 2006 annual meeting of the American Economic Association.

The entrepreneur is widely regarded as an integral player in the business culture of American life, and particularly as an engine for job creation and economic growth. Robert Sobel published *The Entrepreneurs: Explorations Within the American Business Tradition* in 1974. Zoltan Acs and David Audretsch have produced an edited volume surveying Entrepreneurship as an academic field of research, and more than a hundred scholars around the world track entrepreneurial activity, policy and social influences as part of the Global Entrepreneurship Monitor (GEM) and its associated reports.

Though Entrepreneurs are thought to have many of the same character traits as leaders, involve particular psychological dispositions, or operate in purely business spheres of life, recent European theorizing on the subject has suggested that, come the era of neo-liberalism and 'big society' politics that promote conceptualising humans as economic agents per se, normal, everyday people usually marginalized from the term 'entrepreneur' are too involved in the very same kind of processes that 'big business', proper entrepreneurs are involved with. Entrepreneurs, and entrepreneurship, as such, might be enacted by anybody, encountering as they do economic uncertainty on an everyday basis.

### 9.1.1 Concept of Entrepreneurship

Notes

It has assumed super importance for accelerating economic growth both in developed and developing countries. It promotes capital formation and creates wealth in country. It is hope and dreams of millions of individuals around the world. It reduces unemployment and poverty and it is a pathway to prosper. Entrepreneurship is the process of exploring the opportunities in the market place and arranging resources required to exploit these opportunities for long term gain. It is the process of planning, organising, opportunities and assuming. Thus it is a risk of business enterprise. It may be distinguished as an ability to take risk independently to make utmost earnings in the market. It is a creative and innovative skill and adapting response to environment of what is real.

### 9.1.2 Promotion of Entrepreneurship

Given entrepreneurship's potential to support economic growth, it is the policy goal of many governments to develop a culture of entrepreneurial thinking. This can be done in a number of ways: by integrating entrepreneurship into education systems, legislating to encourage risk-taking, and national campaigns. An example of the latter is the United Kingdom's Enterprise Week, which launched in 2004.

Outside of the political world, research has been conducted on the presence of entrepreneurial theories in doctoral economics programs. Dan Johansson, fellow at the Ratio Institute in Sweden, finds such content to be sparse. He fears this will dilute doctoral programs and fail to train young economists to analyze problems in a relevant way.

Many of these initiatives have been brought together under the umbrella of Global Entrepreneurship Week, a worldwide celebration and promotion of youth entrepreneurship, which started in 2008.



*Task* What do you mean by entrepreneurship? Explain it.

### 9.1.3 Financial Bootstrapping

Financial bootstrapping is a term used to cover different methods for avoiding using the financial resources of external investors. Bootstrapping can be defined as "a collection of methods used to minimize the amount of outside debt and equity financing needed from banks and investors".



*Did u know?* The use of private credit card debt is the most known form of bootstrapping, but a wide variety of methods are available for entrepreneurs. While bootstrapping involves a risk for the founders, the absence of any other stakeholder gives the founders more freedom to develop the company. Many successful companies including Dell Computers and Facebook were founded this way.

There are different types of bootstrapping:

- Owner financing
- Sweat equity

Notes

- Minimization of the accounts receivable
- Joint utilization
- Delaying payment
- Minimizing inventory
- Subsidy finance
- Personal Debt.

#### 9.1.4 Traditional Financing

Having outside investors is not necessarily beyond the realm of entrepreneurship. In many cases, leveraging the owners' credit cards and personal assets, such as mortgages, may not be sufficient. Inadequate investment can also kill a start up. And bringing in outsiders can be beneficial. Outsiders can provide financial oversight, accountability for carrying out tasks and meeting milestones, and many can even bring valuable business contacts and experience to the table.

- Angel Investors
- Venture capital investors
- Crowd funding
- Hedge Funds
- Alternative Asset Management.

## 9.2 Interpersonal Communication

**Interpersonal communication** is usually defined by communication scholars in numerous ways, usually describing participants who are dependent upon one another and have a shared history. It can involve one on one conversations or individuals interacting with many people within a society. It helps us understand how and why people behave and communicate in different ways to construct and negotiate a social reality. While interpersonal communication can be defined as its own area of study, it also occurs within other contexts like groups and organizations. Interpersonal communication is the process that we use to communicate our ideas, thoughts, and feelings to another person. Our interpersonal communication skills are learned behaviors that can be improved through knowledge, practice, feedback, and reflection.

Interpersonal communication includes message sending and message reception between two or more individuals. This can include all aspects of communication such as listening, persuading, asserting, nonverbal communication, and more. A primary concept of interpersonal communication looks at communicative acts when there are few individuals involved unlike areas of communication such as group interaction, where there may be a large number of individuals involved in a communicative act.

Individuals also communicate on different interpersonal levels depending on who they are engaging in communication with. For example, if an individual is communicating with a family member, that communication will more than likely differ from the type of communication used when engaged in a communicative act with a friend or significant other.

Overall, interpersonal communication can be conducted using both direct and indirect mediums of communication such as face-to-face interaction, as well as computer-mediated-communication.



*Notes* Successful interpersonal communication assumes that both the message senders and the message receivers will interpret and understand the messages being sent on a level of understood meanings and implications.

### 9.2.1 Communication Channels

Communication channels, the conceptualization of media that carry messages from sender to receiver, take two distinct forms: direct and indirect. It can be one of them.

#### *Direct Channels*

Direct channels are obvious and easily recognized by the receiver. Both verbal and non-verbal information is completely controlled by the sender. Verbal channels rely on words, as in written or spoken communication. Non-verbal channels encompass facial expressions, controlled body movements (police present hand gestures to control traffic), color (red signals 'stop', green signals 'go'), and sound (warning sirens).

#### *Indirect Channels*

Indirect channels are usually recognized subconsciously by the receiver, and are not always under direct control of the sender. Body language, comprising most of the indirect channel, may inadvertently reveal one's true emotions, and thereby either unintentionally taint or bolster the believability of any intended verbal message. Subconscious reception and interpretation of these signals is often described with arbitrary terms like gut-feeling, hunch, or premonition.

### 9.2.2 Context

Context refers to the conditions that precede or surround the communication. It consists of present or past events from which the meaning of the message is derived, though it may also, in the case of written communications, depend upon the statements preceding and following the quotation in question. Immediate surroundings may also color the perceived meaning of words; normally safe discourse may easily become contextually ambiguous or offensive in a restroom or shower hall. These influences do not constitute the message by themselves, but rather these extraneous nuances subtly change the message's effective meaning. Ultimately, context includes the entire world, but usually refers to salient factors such as the following:

- Physical milieu: the season or weather, current physical location and environment
- Situational milieu: classroom, military conflict, supermarket checkout
- Cultural and linguistic backgrounds
- Developmental progress (maturity) or emotional state
- Complementary or contrasting roles: boss and employee; teacher and student; parent, child, and spouse; friend or enemy; partner or competitor.



*Task* What is the main function of communication channels?

Notes

9.2.3 Theories

**Uncertainty Reduction Theory**

Uncertainty reduction theory comes from the sociopsychological perspective. It addresses the basic process of how we gain knowledge about other people. According to the theory people have difficulty with uncertainty, they want to be able to predict behavior and therefore they are motivated to seek more information about people.

The theory argues that strangers, upon meeting, go through certain steps and checkpoints in order to reduce uncertainty about each other and form an idea of whether one likes or dislikes the other. As we communicate we are making plans to accomplish our goals. At highly uncertain moments we become more vigilant and rely more on data available in the situation. When we are less certain we lose confidence in our own plans and make contingency plans. The theory also says that higher levels of uncertainty create distance between people and that non-verbal expressiveness tends to help reduce uncertainty.

Constructs include level of uncertainty, nature of the relationship and ways to reduce uncertainty. Underlying assumptions include that an individual will cognitively process the existence of uncertainty and take steps to reduce it. The boundary conditions for this theory are that there must be some kind of outside social situation triggering and internal cognitive process.

According to the theory we reduce uncertainty in three ways:

1. *Passive strategies:* Observing the person.
2. *Active strategies:* Asking others about the person or looking up info.
3. *Interactive strategies:* Asking questions, self-disclosure.

**Social Exchange Theory**

Social exchange theory falls under the symbolic interaction perspective. The theory predicts, explains and describes when and why people reveal certain information about themselves to others. Social exchange theory argues the major force in interpersonal relationships is the satisfaction of both people's self interest. Theorists say self interest is not necessarily a bad thing and that it can actually enhance relationships.

According to the theory human interaction is like an economic transaction, in that you may seek to maximize rewards and minimize costs. You will reveal information about yourself when the cost-rewards ratio is acceptable to you. As long as rewards continue to outweigh costs a couple will become increasingly intimate by sharing more and more personal information. The constructs of this theory include disclosure, relational expectations, and perceived rewards or costs in the relationship.

The underlying assumptions include that humans weigh out rewards versus costs when developing a relationship. The boundary conditions for this theory are that at least two people must be having some type of interaction.



*Did u know?* Social exchange also ties in closely with social penetration theory.

**Symbolic Interaction**

Symbolic interaction comes from the sociocultural perspective in that it relies on the creation of shared meaning through interactions with others. This theory focuses on the ways in which people form meaning and structure in society through interactions. People are motivated to act based on the meanings they assign to people, things, and events.

Symbolic interaction argues the world is made up of social objects that are named and have socially determined meanings. When people interact over time they come to shared meaning for certain terms and actions and thus come to understand events in particular ways. There are three main concepts in this theory: society, self and mind.

Society: Social acts (which create meaning) involve an initial gesture from one individual, a response to that gesture from another and a result.

Self: Self image comes from interaction with others based on others perceptions. A person makes sense of the world and defines their “self” through social interactions. One’s self is a significant object and like all social objects it is defined through social interactions with others.

Mind: Your ability to use significant symbols to respond to yourself makes thinking possible. You define objects in terms of how you might react to them. Objects become what they are through our symbolic minding process.

Constructs for this theory include creation of meaning, social norms, human interactions, and signs and symbols. An underlying assumption for this theory is that meaning and social reality are shaped from interactions with others and that some kind of shared meaning is reached. The boundary conditions for this theory are there must be numerous people communicating and interacting and thus assigning meaning to situations or objects.

### ***Relational Dialectics Theory***

In order to understand relational dialectics theory, we must first understand specifically what encompasses the term discourse. Therefore, discourses are “systems of meaning that are uttered whenever we make intelligible utterances aloud with others or in our heads when we hold internal conversations”. Now, taking the term discourse and coupling it with Relational Dialectics Theory, it is assumed that this theory “emerges from the interplay of competing discourses”.

This theory also poses the primary assumption that, “Dialogue is simultaneously unity and difference”. Therefore, these assumptions insinuate the concept of creating meaning within ourselves and others when we communicate, however, it also shows how the meanings within our conversations may be interpreted, understood, and of course misunderstood. Hence, the creation and interpretations we find in our communicative messages may create strains in our communicative acts that can be termed as ‘dialectical tensions.’

So, if we assume the stance that all of our discourse, whether in external conversations or internally within ourselves, has competing properties, then we can take relational dialectics theory and look at what the competing discourses are in our conversations, and then analyze how this may have an effect on various aspects of our lives. Numerous examples of this can be seen in the daily communicative acts we participate in. However, dialectical tensions within our discourses can most likely be seen in interpersonal communication due to the close nature of interpersonal relationships. The well known proverb “opposites attract, but Birds of a feather flock together” exemplifies these dialectical tensions.

### ***The Three Relational Dialectics***

In order to understand relational dialectics theory, one must also be aware of the assumption that there are three different types of relational dialectics. These consist of connectedness and separateness, certainty and uncertainty, and openness and closedness.

### ***Connectedness and Separateness***

Most individuals naturally desire to have a close bond in the interpersonal relationships we are a part of. However, it is also assumed that no relationship can be enduring without the



**Notes**

individuals involved within it also having their time alone to themselves. Individuals who are only defined by a specific relationship they are a part of can result in the loss of individual identity.

***Certainty and Uncertainty***

Individuals desire a sense of assurance and predictability in the interpersonal relationships they are a part of. However, they also desire having a variety in their interactions that come from having spontaneity and mystery within their relationships as well. Much research has shown that relationships which become bland and monotonous are not desirable.

***Openness and Closedness***

In close interpersonal relationships, individuals may often feel a pressure to reveal personal information. This assumption can be supported if one looks at the postulations within social penetration theory, which is another theory used often within the study of communication. This tension may also spawn a natural desire to keep an amount of personal privacy from other individuals. The struggle in this sense, illustrates the essence of relational dialectics.

***Coordinated Management of Meaning***

Coordinated management of meaning is a theory assuming that two individuals engaging in an interaction are each constructing their own interpretation and perception behind what a conversation means. A core assumption within this theory includes the belief that all individuals interact based on rules that are expected to be followed while engaging in communication. "Individuals within any social situation first want to understand what is going on and apply rules to figure things out".

There are two different types of rules that individuals can apply in any communicative situation. These include constitutive and regulative rules.

*Constitutive rules:* "Are essentially rules of meaning used by communicators to interpret or understand an event or message".

*Regulative rules:* "Are essentially rules of action used to determine how to respond or behave".

An example of this can be seen if one thinks of a hypothetical situation in which two individuals are engaging in conversation. If one individual sends a message to the other, the message receiver must then take that interaction and interpret what it means. Oftentimes this can be done on an almost instantaneous level because the interpretation rules applied to the situation are immediate and simple. However, there are also times when one may have to search for an appropriate interpretation of the 'rules' within an interaction. This simply depends on each communicator's previous beliefs and perceptions within a given context and how they can apply these rules to the current communicative interaction. Important to understand within the constructs of this theory is the fact that these 'rules' of meaning "are always chosen within a context". Furthermore, the context of a situation can be understood as a framework for interpreting specific events.

The authors of this theory believe that there are a number of different context an individual can refer to when interpreting a communicative event. These include the relationship context, the episode context, the self-concept context, and the archetype context.

*Relationship context:* This context assumes that there are mutual expectations between individuals who are members of a group.

*Episode context:* This context simply refers to a specific event in which the communicative act is taking place.

*Self-concept context:* This context involves one's sense of self, or an individual's personal 'definition' of him/herself.

*Archetype context:* This context is essentially one's image of what his or her belief consists of regarding general truths within communicative exchanges.

Furthermore, Pearce and Cronen believe that these specific contexts exist in a hierarchical fashion. This theory assumes that the bottom level of this hierarchy consists of the communicative act. Next, the hierarchy exists within the relationship context, then the episode context, followed by the self-concept context, and finally the archetype context.

### **Social Penetration Theory**

Oftentimes, when a relationship begins to develop, it is customary for the individuals within the relationship to undergo a process of self-disclosure. Self disclosure is "sharing information with others that they would not normally know or discover. Self-disclosure involves risk and vulnerability on the part of the person sharing the information". The reason that self disclosure is labeled as risky is because oftentimes, individuals undergo a sense of uncertainty and susceptibility in revealing personal information that has the possibility of being judged in a negative way by the receiver. Hence the reason that face-to-face communication must evolve in stages when an initial relationship develops.



**Notes** There are four different stages that social penetration theory encompasses. These include the orientation, exploratory affective exchange, affective exchange, and stable exchange.

*Orientation stage:* Within the orientation stage, individuals exchange very little amounts of information and they are very cautious in their interactions.

*Exploratory affective stage:* Next, in the exploratory affective stage, individuals become somewhat friendlier and relaxed with their communication styles.

*Affective exchange:* In the third stage, the affective exchange, there is a high amount of open communication between individuals and typically these relationships consist of close friends or even romantic partners.

*Stable stage:* The final stage, the stable stage, simply consists of continued expressions of open and personal types of interaction.

Also important to note, is the fact that due to current communicative exchanges involving a high amount of computer mediated contexts in which communication occurs, this area of communication should be addressed in regard to Social Penetration Theory as well. Online communication seems to follow a different set of rules. Because much of online communication between people occurs on an anonymous level, individuals are allowed the freedom of foregoing the interpersonal 'rules' of self disclosure. Rather than slowly disclosing personal thoughts, emotions, and feelings to others, anonymous individuals online are able to disclose personal information immediately and without the consequence of having their identity revealed.

Furthermore, this theory assumes the stance that the decision-making process of how much information an individual chooses to self disclose is ultimately rooted in an analysis of the costs and rewards that an individual may acquire when choosing to share personal information.

**Notes**

An example of Social Penetration theory can be seen when one thinks of a hypothetical situation such as meeting someone for the first time. When two individuals meet for the first time, it is the cultural expectation that only impersonal information will be exchanged. This could include information such as names, occupations, age of the conversation participants, as well as various other impersonal information. However, if both members participating in the dialogic exchange decide that they would like to continue or further the relationship; with the continuation of message exchanges, the more personal the information exchanged will become.

### **Self Assessment**

Fill in the blanks:

1. In recent years ..... to be a major driver of economic growth in both the United States and Western Europe.
2. GEM stands for ..... .
3. United Kingdom's Enterprise Week, which launched in ..... .
4. A worldwide celebration and promotion of youth entrepreneurship, which started in ..... .

### **9.3 Summary**

- **Entrepreneurship** is a process through which individuals identify opportunities, allocate resources, and create value.
- **Entrepreneurship** is the act of being an entrepreneur, which can be defined as "one who undertakes innovations, finance and business acumen in an effort to transform innovations into economic goods".
- It has assumed super importance for accelerating economic growth both in developed and developing countries.
- Financial bootstrapping is a term used to cover different methods for avoiding using the financial resources of external investors.
- **Interpersonal communication** is usually defined by communication scholars in numerous ways, usually describing participants who are dependent upon one another and have a shared history.
- Interpersonal communication includes message sending and message reception between two or more individuals.
- Direct channels are obvious and easily recognized by the receiver.
- Indirect channels are usually recognized subconsciously by the receiver, and are not always under direct control of the sender.
- Coordinated management of meaning is a theory assuming that two individuals engaging in an interaction are each constructing their own interpretation and perception behind what a conversation means.

### **9.4 Keywords**

- Bootstrap** : A loop at the back of a boot.
- Insinuate** : Suggest in an indirect and unpleasant way.

- Assurance** : A positive declaration intended to give confidence.  
**Entrepreneurship** : Free enterprise.  
**Interpret** : Understand.

Notes

## **9.5 Review Questions**

1. What is the concept of entrepreneurship?
2. Brief out social exchange theory.
3. Define the constitutive rules.
4. Elaborately discuss on entrepreneurship.
5. Write a short note on financial bootstrapping.
6. Write the salient features of context.
7. Explain in detail interpersonal communication.

## **Answers: Self Assessment**

1. David Audretsch
2. Global Entrepreneurship Monitor
3. 2004
4. 2008

## **9.6 Further Readings**



- Books**
- Effective Library and Information Centre Management*, Bryson, Jo., Hants: Gower, 1990.
- Stock verification in Libraries: Problems and Solutions*, Delhi: Gupta, S.R., Ken Publications, 1990.
- Library Management of Staff Training and Development*, Delhi: Iyer, V.K. Rajat, 1999.



- Online links**
- <http://www.nios.ac.in/srsec319new/319EL9.pdf>
- <http://fastgush.com/socialmedia/the-concept-of-entrepreneurship-is-entrepreneurship>
- [http://www.lcc.gatech.edu/~herrington/gcp/Ethnology/interpersonal\\_ethn.htm](http://www.lcc.gatech.edu/~herrington/gcp/Ethnology/interpersonal_ethn.htm)

## Unit 10: Financial Management

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10.2.1 Levels of State Funding

10.2.2 Patterns of State Funding

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10.3 Summary

10.4 Keywords

10.5 Review Questions

10.6 Further Readings

### Objectives

After studying this unit, you will be able to:

- Know about the source and funds
- Explain the state funding of public libraries
- Discuss about the levels of state funding
- Describe the patterns of state funding.

### Introduction

During the last twenty years there was a growing trend to align library and information service management to business models of management. In the late 1970s business conditions were rapidly evolving in response to changes in economic thinking. Monetarism and its political children Reaganomics (in the U.S.) and Thatcherism (in the UK) reinvigorated the debates about taxation, investment, and public spending. Market forces, the role of markets, and competition were given new prominence and interpretations. The roles of the consumer and customer in society and in commerce were highlighted. Efficiency, the elimination of waste, and quality delivery were new watchwords. The role of central government, economic intervention, and balances between public and private sector activities were analyzed, criticized, and redefined. In short, the deregulation of economic activity was to be the favored means of ensuring growth and wealth creation. This cycle of change would inevitably come to affect every sector of economic activity including library and information services.

The recent historical record, and indeed contemporary events, shows that the library and the information sector have had to face a changing and ever more turbulent environment since the late 1970s. Rising library materials price indices were amongst the first indicators (*e.g.*, well summarized in Cummings, 1992). Mid-1970s inflation—a symptom of rising oil prices—affected

all economies tied together by global trade and against this background the new 'economics of the right' found its moment arriving to challenge the post-1945 Keynesian consensus. Today's economic and business climate is still influenced by these changes observed first during the 1970s in the U.S. and UK. The substantial dependency of the professional library and information area on public sector funding was to prove a considerable disadvantage. The virtual entirety of public libraries in the U.S. and UK were then, and still are, dependent on local or central public finance. These major sources of revenue were constrained as a result of these political and economic changes because the reduction of public spending was one of the major goals advocated. Likewise, academic and research libraries in the UK were and are virtually all publicly funded; in the U.S. private funding plays a greater role for research libraries, even though public funding is very significant for many.

In a perverse way, with hindsight, and from a library and information standpoint it could be said that the economic environment over the last twenty years has been both a negative force and a stimulus at the same time. Constraint on public funds and a shift to an enterprise culture undermined the welfare tradition of social provision. But it also encouraged a climate of innovation and so gained new potential and momentum. Little by little these library and information services have begun to explore markets and commerce, new customer sectors, added-value services, and new managerial responsibilities. They have discovered, albeit through a painful process, that public obligations can be sustained and innovation and adaptation engendered at the same time.

### **10.1 Source of Funds**

The Pennsylvania Library Association (PaLA) and the Pennsylvania Citizens for Better Libraries (PCBL) issued a Request for Proposal for a data-gathering project in December 2006. The project intent was "to collect information on the ways the operating costs of public library services are supported by governmental funds on both the local and state levels in the other 49 states." The data will be used as part of a planning process to develop a blueprint for improving and stabilizing funding for Pennsylvania's public libraries and for improving the quality of services delivered to Pennsylvania's 12 million residents. The firm of RPA Inc., located in Williamsport, PA, was selected to conduct the data gathering in March 2007. Senior Consultants Patricia L. Owens and Mary Sieminski were assigned to the project. Consultants used the following sources to obtain the data:

- Chief Officers of State Library Agencies (COSLA)
- National Center for Education Statistics (NCES)
- Public Library Association (PLA)
- Interviews with staff of the various state library agencies
- Urban Libraries Council (ULC).

The data presented in this report are intended to be used as part of a planning process to develop a blueprint for stabilizing and, we hope, improving funding for Pennsylvania's public libraries and therefore improving the quality of services delivered to Pennsylvania's 12 million residents. At the request of the Pennsylvania Library Association (PaLA) and Pennsylvania Citizens for Better Libraries (PCBL), RPA Inc. consultants gathered data essential to understanding the broader picture of library funding on the state and local level. We were not asked to draw conclusions from this data. We, the consultants, collected data nationally on the funding of public libraries at the state and local levels, specifically, looking at the revenue-generating mechanisms in place which states can use to raise funds sales tax, property tax, realty transfer taxes, etc.

**Notes**

Additionally, we gathered data identifying states that have statutes allowing for the creation of special library taxing districts and/or regional asset taxing districts. PaLA and PCBL were also interested in how these monies were distributed—for example, what agencies are responsible for the distribution, what types of programs are funded by state monies, and what, if any, requirements are in place for individual public libraries to be eligible for funding. We studied the levels of state funding for libraries over the past decade in each of the 50 states and identified those states that have had significant increases or decreases in state funding over the past 10 years.

In addition to funding for state aid to libraries, we identified:

- Dedicated state funding programs for capital purposes, if in place, by state and the source of these funds
- Other governmental funding streams on the state level that support public library service, such as statewide licenses for databases and live homework help
- State grant or funding streams for which public libraries are eligible applicants, such as early learning initiatives, literacy services, economic development efforts, technology enhancement programs, and K-12 support services
- State and/or local tax incentive programs that encourage business contributions to public libraries.

On the local level, we identified the ways local municipalities are required or enabled to generate and utilize local tax revenue in support of public library services what types of taxes or fees states allow municipalities to level to support public libraries (property taxes, impact fees, etc.). State library agencies shared with us their strategies for success in maintaining or increasing levels of support for public libraries in their state.

We gathered and present other relevant data, including charts of the 50 states, in alphabetical order, showing

- Number of library visits per capita
- Number of circulation transactions
- Personal income per capita
- Average per pupil expenditure K-12
- Number of local governmental units.



*Notes* In addition, we gathered sample data from metropolitan libraries in the 50 states and abstracted data on library funding from the Public Library Data Service 2005 Public Library Finance Study. This report presents the data in the form of analysis, tables, and charts.



*Task* Explain the various sources to obtain the data.

## 10.2 State Funding of Public Libraries

### 10.2.1 Levels of State Funding

Per capita state tax support for libraries varies widely from a high of \$40.06 in Ohio to \$0.01 in Vermont and less than \$0.01 in South Dakota. Pennsylvania ranks fifth at \$4.90. The national average is \$3.21. The total operating revenue per capita reveals a wide range of total support for libraries from federal, state, local and other sources of funding. Ohio again tops the list at a total of \$56.77 per capita, followed by Illinois at \$53.07. At the low end is West Virginia at \$15.49 and Mississippi at \$13.76. With an operating revenue of \$24.22 per capita, Pennsylvania ranks 38th. The national average is \$32.21. Pennsylvania ranks very high in the dollar amount of state funding per capita, but this is offset by its ranking close to the bottom in the amount of local funding (\$15.25). The national average of local funding per capita is \$26.25.



*Did u know?* According to NCES statistics, per capita operating revenue from local sources was under \$3.00 for 8% of public libraries, \$3.00 to \$14.99 for 31% of libraries, \$15.00 to \$29.99 for 33% of libraries, and \$30.00 or more for 28% of libraries.

### 10.2.2 Patterns of State Funding

The funding of public libraries by the states over the past decade. For each year, the percentage of the total library revenue that was provided by the state, the dollar amount of state funding, and the percentage of change from the previous fiscal year are given. It is clear that state funding is a very important source of revenue for our nation's public libraries, but for the libraries in many states, not a reliable source of funding. Nationally, the percentage of total public library funding provided by state governments in the aggregate has remained fairly constant over the last decade between 10% and 13%. Local governments, the federal government, and other sources such as fees, gifts, and donations provide the remaining 87–90%. While the percentage of library funding provided by the states has remained fairly constant, the amount of state funding in dollars increased from \$671 million in 1995 to \$909 million in 2004. The total increase over the decade was 35%. The percentage of funding from state sources decreased in each of the last three reporting years (2002, 2003, and 2004). In each of the previous seven years, there had been increases in state funding the greatest being 12% in 1998. On a year-to-year basis, fully one-third of the states have seen their level of state funding increase or decrease by more than 10%. In 1998, 60% of the states had increases or decreases in funding greater than 10%. Even increases and decreases greater than 50% are not uncommon.

### 10.2.3 2005 Public Library Finance Survey

The tables on pages 48–70 are derived from the 2005 Public Library Data Service Statistical Report, 2 which featured a special survey on Public Library Finance. The data were collected from 938 public libraries and includes information on government funding and statistics on alternative funding streams for library support. This report is a project of the Public Library Association and was designed to meet the needs of public library administrators and others for library-specific data to inform and support a wide variety of management decisions. In addition to the special survey, the PLDS annual report includes data from public libraries across the country (and Canada) on finances, library resources, annual use figures, and technology. The data reports give the average for each data element, the median value, and the number



**Notes**

of libraries reporting. Our analysis of this report focuses on how Pennsylvania libraries compare to national averages and trends. Because of the size of the sample, the number of libraries reporting from Pennsylvania is fairly small. Because of the small sample size, the results are by no means comprehensive. The report, however, remains valuable for the questions that it raises and particularly for the data on alternative sources of funding, an increasingly important source of revenue for public libraries nationally.

### **Self Assessment**

State whether true or false:

1. In the late 1970s business conditions were rapidly evolving in response to changes in economic thinking.
2. PaLA stands for Pennsylvania Library Assignment.
3. PCBL stands for Pennsylvania Citizens for Better Libraries.
4. NCES stands for National Center for Education Statistics.
5. Pennsylvania ranks fourth at \$4.90.

### **10.3 Summary**

- During the last twenty years there was a growing trend to align library and information service management to business models of management. In the late 1970s business conditions were rapidly evolving in response to changes in economic thinking.
- The recent historical record, and indeed contemporary events, shows that the library and the information sector have had to face a changing and ever more turbulent environment since the late 1970s.
- The Pennsylvania Library Association (PaLA) and the Pennsylvania Citizens for Better Libraries (PCBL) issued a Request for Proposal for a data-gathering project in December 2006.
- Per capita state tax support for libraries varies widely from a high of \$40.06 in Ohio to \$0.01 in Vermont and less than \$0.01 in South Dakota. Pennsylvania ranks fifth at \$4.90.

### **10.4 Keywords**

- Contemporary** : Living, occurring, or originating at the same time.
- Standpoint** : An attitude towards a particular issue.
- Revenue** : Income.
- Aggregate** : A whole formed by combining several disparate elements.
- PaLA** : Pennsylvania Library Association.
- COSLA** : Chief Officers of State Library Agencies.

### **10.5 Review Questions**

1. Write a short note on public library association.
2. What are the other sources of funding?

3. Explain the survey of COSLA members.
4. Discuss the history of public library funding.
5. Explain the state funding of public libraries.

Notes

### Answers: Self Assessment

1. True
2. False
3. True
4. True
5. False.

### 10.6 Further Readings



- Books**
- Effective Library and Information Centre Management*, Bryson, Jo., Hants: Gower, 1990.
- Planning Library Buildings, New Delhi*: Faruqi, Khalid, K. Anmol Pub, 1998.
- Stock verification in Libraries: Problems and Solutions, Delhi*: Gupta, S.R., Ken Publications, 1990.



- Online links** <http://www.ericdigests.org/2001-4/funding.html>
- [www.wikipedia.com](http://www.wikipedia.com)

## Unit 11: Budgets

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### Objectives

After studying this unit, you will be able to:

- Discuss the process of budget development
- Describe the sources of funding
- Know about the types of budget
- Explain the accounting and auditing
- Describe the costing and cost analysis of libraries services.

## Introduction

## Notes

A **Budget** is a plan that outlines an organization's financial and operational goals. So a budget may be thought of as an action plan; planning a budget helps a business allocate resources, evaluate performance, and formulate plans.

While planning a budget can occur at any time, for many businesses, planning a budget is an annual task, where the past year's budget is reviewed and budget projections are made for the next three or even five years. The basic process of planning a budget involves listing the business's fixed and variable costs on a monthly basis and then deciding on an allocation of funds to reflect the business's goals. Businesses often use special types of budgets to assess specific areas of operation. A **cash flow budget**, for instance, projects your business's cash inflows and outflows over a certain period of time. Its main use is to predict your business's ability to take in more cash than it pays out. And if you're planning on starting a business, planning a budget plays an important role in determining your start up and operating costs. The Financial Plan Section of the Business Plan provides information on calculating your start up and operating expenses.

### 11.1 Developing the Library Budget

This administrative essential covers:

- The process of budget development
- Sources of funding
- Donations and Grants
- Desirable budget characteristics
- Terms and distinctions.

The development and execution of the library budget is one of the library director's most important tasks. The process should be integrated with the planning and evaluation of library services. Once reviewed and approved by the library board, the budget serves as a roadmap for the delivery of library services in the subsequent year. This chapter will outline a typical procedure for creating and approving the library budget.

Although library boards are vested "exclusive control of the expenditure of all moneys collected, donated or appropriated for the library fund," the municipality is empowered to levy a tax or appropriate funds to operate a public library. Consequently, the library fund is included in the budget of the municipal body that established the library. While there is no statutory requirement that libraries develop budget requests to submit to their governing authorities, most municipalities require them, and a carefully considered budget is one of the responsibilities you have in your role as a steward of public funds. In order to operate effectively and maximize your ability to obtain appropriate local funds, you and your board should create and follow a budget each year.

By going through a formal budget process, you, your library board, and your municipality establish a fiscal foundation for library operations. The budget process provides you with an opportunity to request necessary funding for established services, as well as supplemental support to address increased use or provide new services. The budget also creates a way to track required revenues and reportable expenditures. Finally, since the municipality is required to hold a public hearing, it allows public input on municipal services, including the library.

**Notes**

Some municipalities may not invite input on the library appropriation, choosing instead to budget a minimal amount or a fixed sum. But Wisconsin law requires that “every municipality shall annually formulate a budget and hold public hearings thereon.”. Consequently, even if municipal officers want to budget a fixed sum for library operations, the budget process and the public hearing requirement may be the library’s only opportunity to request additional funds.

**11.1.1 The Process of Budget Development**

The first step in developing a library budget is to consider what the library hopes to accomplish in the next year. The availability of a current long-range plan will make this step much easier, because the plan should already document your community’s library service needs and the library activities necessary to meet those needs. If you have a long-range plan, ask your board to review it and make any necessary adjustments or revisions. You might solicit suggestions from library staff on what additional materials or personnel may be required or ways to adapt current resources to meet the service plan. Then discuss with the board how the library’s goals may affect the budget-what resources will be required to carry out the service plan, and whether the goals are still reasonable, considering the current economic climate.

The second step is to determine the total financial resources necessary for what the library wants to accomplish in the coming year. Often, increased funding is required because of higher costs, increased usage, or new services that will be offered. Funding for new services can also be made available by shifting resources from a lower priority service that can be reduced or eliminated to a higher priority service. Project the amount of other revenues you might expect based on past use or current trends. Using information from your municipality and vendors, try to gauge appropriate increases for regular budget items such as health benefits, retirement, energy costs, and subscription rates.



*Notes* You should be able to estimate the county payment for non-resident use. If you have contract income from neighbouring communities, you should ascertain whether any change may occur.

You and library staff should prepare draft budget documents for your board following the format used by the municipality or county. The library board president or a finance committee may have input or guidelines for the development of budget drafts. The board of trustees will then review the draft budget with the director, propose changes, and eventually approve a final budget.

After the written budget documents are approved by the board and submitted to the municipality or county, the final step in the budget process is securing the funding needed to carry out the planned service program. You or the board may be asked to make a presentation to the governing body of the municipality or its finance committee. Trustees, as volunteer public representatives, are especially effective budget advocates. Trustees may help to justify budget requests and request support from the municipality’s governing body. And because the municipality is required to hold a public hearing on the budget, library supporters and advocates can express support for the library budget that was approved by your board. The municipal governing body must adopt a budget in time to submit to the county clerk for the tax levy. If the funding requested by the library is not appropriated by the municipality, the board may need to make adjustments to the final library operating budget. Budget changes may also be required during the budget year if, for example, certain expenditures are higher than expected, or costs are lower than expected.

Typical budget calendar:

Notes

- *February-March:* The director reviews the annual report and the previous year's data to ascertain trends, patterns, and changes.
- *Spring:* Library board reviews long-range plan and library service goals in light of trends.
- *Mid-year:*
  - Library director and board review expenditures and revenues to determine if current budget is on track.
  - Municipality begins budget process, establishing budget calendar and guidelines.
  - Director reviews budget guidelines and obtains direction from the board for budget preparation.
- *Late summer:* After discussion, director drafts a preliminary budget for the board.
- *Late summer/early fall:* Board reviews preliminary budget and approves or revises the budget. The director makes adjustments to the budget based on board input and submits the board-approved budget request to the municipality.
- *Fall:* Budget is reviewed by the mayor, administrator, or finance committee, who may request additional information from the director or board. Municipality holds a budget hearing, reviews budget, and may make amendments. Public may comment on programs or services before a final budget is approved.
- *Year end:* Depending on municipal appropriation, the director and board may need to adjust expenditures.

### 11.1.2 Sources of Funding

**Local tax support:** The bulk of the funding for most Wisconsin public libraries is provided by the municipality or county that established the library (or, in the case of a joint library, each of the municipalities). To qualify for library system membership and services, funding provided by that governing municipality or county must be maintained at a level at least equal to the average funding provided for the previous three years.

Fines may be a source of library revenue, but the practice of charging fines is the subject of debate in the library community. Some argue that fines' effectiveness in recovering materials is questionable, the revenue stream is minimal compared to other sources, and fines can create ill feelings among borrowers, or discourage use of the library. Others say that, without fines, patrons would not consistently return materials on time. In establishing a fine policy, a library board should consider not only the possible revenue but also the potential negative public relations effects.

Under Wisconsin Statutes Section 43.52(2), public libraries may not charge fees for information-providing services. Fees and charges for such things as making computer printouts and using a copy machine are permitted. Most fees, charges, and sales by public libraries may be subject to the Wisconsin sales tax and any county and special sales taxes.

**County support:** Under the county funding section of the law (Wisconsin Statutes Section 43.12), counties are now required to pay each public library in the county or in an adjacent county at least 70 percent of the cost of library services provided to residents of the county that do not maintain a public library. The only exceptions to this requirement are consolidated county libraries and counties with a population over 500,000. Cost calculations for this requirement are to be based on total library operating expenditures not including

**Notes**

capital expenditures and expenditures of federal funds. Some counties provide higher levels of support, or may have additional agreements to reimburse for cross-municipal.

Other county library funding considerations:

- Municipalities can exempt themselves from the county library tax if they tax themselves for library service at a higher tax rate than the county.
- To retain system membership, counties must also maintain their total public library funding at a level at least equal to the average funding provided for the previous three years (MOE).
- *State funds:* While Wisconsin does not directly fund public libraries with State funds, library systems are operated with funds appropriated by the State, based on the library's system membership, and your library system may provide grants or project funds to member libraries.

Federal funds: The Library Services and Technology Act (LSTA) program supplies seed money for projects that improve library services. The Wisconsin LSTA program is administered by the Division for Libraries, Technology, and Community Learning in the Department of Public Instruction. Libraries can apply for grants in specific competitive categories. Other non-competitive categories are available to library systems, which may be distributed to member libraries.

### **11.1.3 Donations and Grants**

Grants and gifts can be an excellent source of supplementary funds for special projects. In addition, community citizens are often willing to make significant donations to cover part or all of the costs of a new or remodeled library building.

Grants or donations should never be used to justify reducing or replacing the community's commitment to public funding. By doing so, you risk disenfranchising your benefactors-donors may stop giving, volunteers may disappear, and granting organizations may cease awarding grants to your library if they see that their efforts are resulting in reduced public funding for the library instead of improved service.

### **11.1.4 Desirable Budget Characteristics**

There are four practical characteristics that your budget document should include.

1. *Clarity:* The budget presentation should be clear enough so every board member, every employee, and every municipal governing body member can understand what is being represented.
2. *Accuracy:* Budget documentation must support the validity of budget figures, and figures must be transcribed and reported carefully, without variation from the documentation.
3. *Consistency:* Budget presentations should retain the same format from period to period so that comparisons can be easily made. All budgets are comparative devices, used to show how what is being done now compares with what happened in the past and what is projected to happen in the future.
4. *Comprehensiveness:* Budget reports should include as complete a picture of fiscal activities as is possible. The only way to know the true cost of the library operation is to be certain that all revenue and expenditure categories are included within the budget.

### 11.1.5 Terms and Distinctions

Notes

#### **Types of Budgets**

A line item budget is probably the most common form, listing specific revenue sources (such as levy, county payment, fines, print and copy, etc.) and expenditure categories (such as personnel, supplies, equipment, print materials, AV, serials, etc.)

A program budget (sometimes called cost center or product budget) is further broken down into particular program or project areas of service such as reference, collection, and programs (which may have further divisions such as youth, adult, and outreach).

A Zero base budget (more common in private industry than in local government) requires that each program be justified each year.

#### **Types of Guidelines for Budget Development**

When your municipality issues budget instructions, the guidelines may fall into the following categories. *Steady state* assumes no changes in the budget or allows only an increase for inflation. *Controlled growth* establishes a determined percentage for the total increase in expenditures. *Selected growth* establishes targeted or permitted increases (e.g., no new personnel but added funding for wage increases and health insurance). *Overall reductions* (what we dread most) calls for a set percentage for total decrease in expenditures, whereas *selected reductions* targets specific decreases (e.g., reduced staff hours; lower expenditures for materials and supplies; reduced hours and personnel).

Note that sometimes two types are combined. For instance, guidelines may allow increases for a set wage percentage increase and health insurance increases, but require a reduction in other expenditures. And, keep in mind that, while the municipality may establish budget goals with specific budget freezes in certain categories, it is ultimately the library board's authority to determine how the municipal appropriation and other available funds may be used to address library service needs in the community.

#### **Operating vs. Capital Costs**

In planning for the financial needs of the library and recording financial activities, it is important to keep operating and capital activities separated for reporting purposes. Operating activities are those that recur regularly and can be anticipated from year to year. Included as operating expenditures are staff salaries and benefits; books and other media acquired for the library; heating, cooling, and regular cleaning and maintenance of the building; and technology support contracts. Capital activities, in contrast, are those that occur irregularly and usually require special fundraising efforts or municipal borrowing. These would include new or remodeled library buildings, major upgrades of technology, or the purchase of expensive equipment or furnishings. Many municipalities have cost thresholds for purchases or projects to be considered capital expenses, such as projects in excess of \$5000. You should present the operating and capital activities separately in your library budget. Some municipalities may have separate budget processes for capital requests, since they may borrow for large projects, and then include the debt retirement in the general budget.

#### **Revenue vs. Expenditures**

In both operating and capital budgets, you will need to show revenue (or income) and expenditures. Revenue should be broken down by the source of the funding—for instance, municipal appropriation,



**Notes**

county reimbursement, system state aid, grant projects, gifts and donations, fines and fees. Expenditures are sometimes grouped in categories with lines representing similar products or services-for instance, personnel costs (salaries, wages, benefits, and continuing education), general operating costs (including office supplies, utility and communications costs, building and equipment maintenance, and insurance), contract fees (such as shared automation system), and collection costs (broken down into print materials, audio and video materials, and electronic services).

***Municipal Accounting vs. Library Accounting***

As specified in state law, municipalities or counties make payment from the library fund only upon authorization of the library board. [Wis Stats. 43.58(2)] Since the municipality must hold the funds, it will also keep records of how those funds are used. This municipal accounting should be available to the library board upon request. However, even though your city, village, or county is performing this accounting function, it is advisable for the library to also maintain its own set of records. This will allow the board and director to know the status of finances in a timely manner (if there is a delay in getting figures from the municipality) and to help assure that there are no mistakes in how the municipality has recorded transactions and balances. In addition, there are types of funds (gifts, bequests, devises, and endowments) which can be managed directly by the library board; if the board chooses to manage these funds it must, of course, keep records for accountability.

**11.2 Accounting and Auditing**

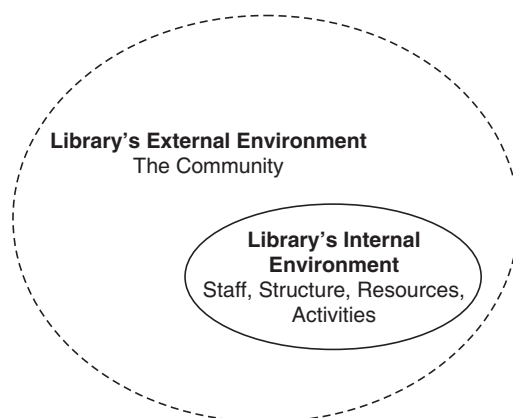
The Accounting Library is dedicated to serving the educational and research needs of the students and faculty of the Leventhal School of Accounting by providing access to quality accounting and taxation resources, reference and research services, and classroom instruction.

A variety of accounting software programs, which complements and enhances coursework, is accessible from the library’s public PCs. These programs are supplemented by an extensive suite of electronic databases, sponsored by the Marshall School of Business, which provides additional access to a broad range of proprietary business data and research. (In some instances, use is restricted to currently enrolled students only.)



*Did u know?* The Accounting Library also houses an extensive print collection of accounting, reference and taxation resources, a topical circulating book collection, and dozens of specialized journals supporting faculty and Ph.D. research and the school’s curriculum.

A library’s environment has two faces: external and internal. The previous Pathways module, Profiling Your Community addressed a portion of the library’s external environment through the assessment and profiling of the library’s community. Now we turn to an assessment of the library’s internal environment which we call an “Internal Library Audit”. This internal audit will look at the library’s staff, managerial structure, resources, and activities.



The internal library audit will enable you to begin to match the interests and needs of your library community with the capacity of your library. This analysis will move you logically towards a consideration of your vision and the goals and objectives you will employ to work towards that vision, all of which will be considered in the following module, Visions, Goals and Objectives.

A thorough and systematic audit of your library's internal system would include consideration and assessment of all of its components. This module includes 2 activities to help you begin the process of your internal library audit. Instructions for each of these activities and a link to the worksheets for each activity are provided below. Before you begin these activities, however, browse the following questions intended to help you determine what further internal areas or components you may need to examine during your audit:

Role and purpose:

- What is the role of the library in the community?
- What is the library's purpose?

Organizational structure:

- How are decisions and policies made?
- How does the staff work together and communicate? What are the library's lines of communication?
- What is the library's technical structure (processes, procedures, and techniques).
- What is the library's informal staff structure (leadership style, politics, status, rewards, ideologies)?

Staffing:

- How many people, including volunteers and board members, work for your library?
- What are the strengths and weaknesses of your library staff? What special areas of expertise does your library staff possess?
- What types of training and education does your library staff need? What training and education resources are available and accessible by your staff?

Fiscal resources:

- What is the library's annual budget?
- What are funding sources for the library?

Notes

- What is the process for creating the budget? Who is responsible for creating the budget?
- Are there any potential funding sources that have not been tapped?
- What are library's expenses?
- Does the library budget accommodate growth?

Physical resources:

- Describe the condition of the library's buildings and facilities.
- Is there adequate space and appropriate configuration for the library's materials and programs?
- How would you rearrange the library's physical facilities to enrich the library's internal environment?
- Does the library have the necessary wiring, telephone lines, electrical outlets to provide for its services?
- Do you have enough furnishings and are they comfortable and attractive to your library users?
- What technology and equipment does your library have? Is it updated and adequate for your library community's needs?
- Does your library have access to adequate technical support and technology training and education?

Activities—programs, and services:

- List and describe all of the library's services and programs. Include who is responsible for each activity and what resources are dedicated to each.
- List and describe your library's marketing activities including public relations, promotion, and advertising.
- Does your library maintain circulation and in-house use statistics? Are these statistics itemized (*i.e.*, adult, youth, children, business, reference, etc.) in any way?

Image:

- What is image of the library within the community?
- What do your library users feel about the library? What do your library users see when they visit your library?
- What are the staff, volunteers, and board perceptions of the library?

### 11.2.1 Library Walkabout Worksheet

The use this worksheet to record your impressions and observations as you through your library. Try to see your library as your users see it, in other words, try to see your library with fresh eyes. Start at the street or in the parking lot. Note the exterior aesthetics, signage, and condition of your library. How are library users greeted when they enter the library? Is the library arrangement attractive, convenient, easily accessible? Is your library signage adequate, attractive, noticeable? Is it easy to spot library staff? Are the staff members approachable? What barriers to the library's staff and materials do library users face? Have 2 or 3 of your planning group members conduct a walkabout and then share and compare your observations, impressions, and perceptions of the library.

### 11.2.2 S.W.O.T. Analysis Worksheet

Notes

S.W.O.T. Analysis is an effective way to identify your library's Strengths, Weaknesses, Opportunities, and Threats. Your analysis will help you to focus your library's services and programs on areas where you are strong and where the greatest opportunities lie. This is an activity particularly suited for the entire planning group or a sub group which includes both library staff and library board members. You may even want to consider including some "outsiders" or library customers in this process.

This analysis will help you compare your library's strengths and weaknesses (internal assessment) with the opportunities and threats presented by the library's external environment. Begin by making up 4 lists using the S.W.O.T. Analysis Worksheet to record them. Then match your strengths to your opportunities, discuss ways to reduce or improve your library's weaknesses, and brainstorm about ways to protect your library against the threats you have identified or ways to transform those threats into opportunities for library service.

The National Arts Marketing Project offers these rules for conducting a S.W.O.T. Analysis:

- *Keep lists short:* 10 items per list ensures only important factors are considered.
- *Opinions must be supported with facts:* One person's idea of strength may be another's idea of a weakness. Having the facts to back up an argument gives it credibility.
- *Show competitive factors:* Perhaps you don't have a direct competitor in your category, but every organization competes for dollars so competition should not be dismissed.
- Prioritize and weight the factors in the lists.
- *Use language that is clear and relevant to the task:* Confusing or obscure language may complicate your ability to execute the strategy.

Once you have completed your lists, Austrainer provides these questions to stimulate your analysis:

- How can we use our library's strengths to enable us to take advantage of the opportunities we have identified?
- How can we use these strengths to overcome the threats identified?
- What do we need to do to overcome the identified weaknesses in order to take advantage of the opportunities?
- How will we minimise our weaknesses to overcome the identified threats?

### 11.3 Costing and Cost Analysis of Libraries Services

The cost benefit analysis play an important role in the smooth functioning of an organization and helps in the optimum utilization of its resources. Information and Communications Technology (ICT) has accelerated exceptionally during the last decade, which has also increased the cost of it. So, the need of the cost-benefit analysis has been arise for the usage of ICT in an academic institution especially in libraries. Now ICT recognize as a valuable organizational resource, like any other resources in an organization. ICT should also receive serious attention of management for the adequate utilization of its benefits compared to its cost. ICT is the key to the evolution of our practices in many domains, such as education, work effectiveness and National productivity. The cost-benefits analysis helps in effective usage of ICT for its excellences. This article gives brief introduction about cost-benefit analysis, its needs, importance as well as meaning of ICT and its importance in the current scenario.

**Notes**

The cost- benefits analysis is one of the effective tools in the hand of management for the proper functioning, growth and development of any organization. There are basically two types of organization *i.e.*, some are for the earning of revenues and others are for the welfare of the society. Education falls in the second category. The cost-benefit analysis of such institution can be measured in terms of the services they render to the users. In India, the cost of providing various library services to it users and managing their resources is a very important aspects, but a very few libraries have the detail picture of their cost-benefits analysis Webster (1981) cited a number of sources of cost increase, due to which economic and financial pressures on most libraries have grown enormously in the last few years. He also identifies some methods of cost-benefit analysis in a library.



**Task** What do you mean by costing and cost analysis and importance?



**Notes** The cost benefit analysis can now be calculated by determining the total usage of resources by all the users during a specific period of time and then evaluating it by some standard methods of cost benefit analysis.

**11.3.1 Meaning of cost**

In general “cost” means “the amount of expenditure (actual or notional) incurred on or attributable to a given thing”. However, the term cost interpretation depends upon:

- (A) The nature of the business.
- (B) The context in which it is used.

The broad elements of cost are as follow:

- Material
- Labour
- Expenses
- Overhead.

Basically, cost may be classified as fixed variable and semi-variable. Costs, which may further be divided into product and period cost, direct and indirect cost, decision making costs and accounting costs, relevant and irrelevant costs, controllable and uncontrollable costs etc, which helps in assignment of cost to the different activities of both servers and users. Cost accounting enables the libraries to improve these two basic unit costs. The cost accounting is mainly concerned with the determination of cost, with the help of process cost accounting and job cost accounting. Robert (1985) received fine different types of cost study for library and information service, out of which cost benefit analysis is one of them. He found that work measurement techniques are the best tools available for libraries to analyze the cost. Bryson (1996) stated that cost analysis in libraries can be used to determine the anticipated value for certain activities or to measure efficiency for comparative purposes. Welshmer (1991) also conducted cost analysis of library and information system and standard pattern in controlling the cost of information technology in India. So, the cost analysis helps in determining the benefits of a particular services or products during a period of time.

### 11.3.2 Cost-Benefit Analysis Need and Importance

Notes

The concept of cost-benefit analysis is now increasing day by day and applied to all the areas of the library. Beside, welfare activity libraries also use the resources of the organization/institution and also see the associated cost and benefits to the organization/institutions. The concept of cost benefits analysis has now starts taking practical shape in these days. The planning commission has already decided about the feasibility studies for the various welfare and social projects of different institution/organizations. The United Nation Industrial Development Organization (UNIDO) and Center for Organization of Economic Co-operation and Development (COECD) have come with the unique publication dealing with the problem of measuring cost benefit analysis. Lancaster (1971) made a distinction between cost-effectiveness analysis and cost benefits analysis as applied to information system and also discuss the relationship between cost, performance and benefits. He found that system benefits are usually more difficult to express and to measure. Baliarsingh and Mahaptra (1986) conducted the cost benefit analysis of university library and said that user surveys are the best means of measuring the benefits in the context of library and information center.

Narayna (1991) explained the concept of cost-accounting, different types of cost etc.,. He explained the model of cost-effectiveness and cost-benefits analysis. He found certain limitation while applying cost-effectiveness and cost benefit analysis to libraries. The cost benefit ratios are helpful for evaluated the total cost benefits of ICT, which include all economic and non-economic, internal and external benefits. According to it, an ICT giving a higher output per unit of capital employed is to be preferred over project giving a lower output. However, a broad decision on ICT acceptability on welfare grounds by looking to the different welfare aspects associated with it. The cost-benefit analysis helps determining the cost of ICT in a library by taking into account various costs *i.e.*, Network costs, Website development cost, user cost and miscellaneous projects costs and compare it with the benefits arises from these activities for a particular period of time.



*Did u know?* The lack of national ICT strategy and inadequate ICT skills leads to the slow rate of polices of ICT sector, which create the need of its cost analysis.

### 11.3.3 Meaning of Information and Communications Technology

In the past Libraries were regarded as store houses of books. They were not for use. But today, the Libraries, through their books, are actually repositories of information and knowledge. Information is indispensable for any human activity aiming at social progress. The researcher, the teacher, the student, the administrator, the worker in the factory and in the factory and in the field, all need information to equip themselves better for the fruitful pursuit in their respective fields. The basic information role of the Library is to collect the materials containing the information required by the various sections of the society and disseminate the information to them through appropriate methods. It is primarily in this sense that a Library is described as an information center. The advancement of science and technology has made tremendous improvement and change almost in all fields of life. Especially the magnetic word "Information and Communications and Technology" has been chanted in all carriers of global arena. The services rendered with the help of ICT are faster and more effective. Moreover, it creates faith and confidence about the products and services of an organization among its customers. ICT is an important catalyst for social transformation and national progress. As already mentioned, that Libraries which were earlier considered as store houses have got a new outlook in the modern information communication technology Era. The activities which were carried out

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manually in the libraries with so much of pain and strain are being carried out smoothly with the help of ICT with greater effectiveness. Library organization, administration and other technical processing have become easier and more quantum of work can be done in relaxed mood. ICT, which is the basis for MBO, generally more results are given time.

All kinds of Libraries, especially the University Libraries are not exempted from the impact of ICT. Such Libraries are very much interested in incorporating the latest ICT in their administrative function, technical work and user services. University Grant Commission also contributes grants to the University and other affiliated colleges to provide ICT facilities and generate digital environment. INFLIBNET is actively involved in the automation and digitization of these libraries. The encouragement, facilities and cooperation by INFLIBNET such as funding, training, orientation, workshops and publication make the Libraries equipped with all ICT tools and now they are in a position to provide better services to the students, researchers, teachers and other user's community effectively.

**11.3.4 Importance of Information and Communications Technology (ICT)**

Libraries are mainly entrusted with predetermined tasks like acquiring, organizing, preserving, retrieving and disseminating information to the users. Right from the ancient times to present internet era, the primary objective of library has always been this. However, the way this purpose has been achieved has drastically changed. As the information technology has influenced the very nature of business and management of libraries. They are underlying significant changes to not only in outlook but also in function, services, methods and techniques for collection development, processing and dissemination of information.

With the advancement in technology and the direct application to libraries, Business and management Libraries are becoming lean and agile. Most of the libraries now a day streamline information supply. The developing of Information and Communications and Technology (ICT) and its applications in library developing science have forced. The library and information professionals are functioning at present to change the way. LIS information has released that the users are increasingly becoming web based users. So, an overwhelming attraction is being given to the web based information services in libraries. ICT have brought a lot of conveniences to the library users, as the information being accessible at their desktops, the productivity of users has been increased. ICT have become centres of education and training of library and information science and services because of great influence of it on the profession. The implementation of ICT in the libraries has demanded new forms of Library Services to get more user satisfaction.

**11.3.5 Cost-Benefit Analysis and ICT in Library and Information Science**

The cost of ICT has been changed so much in the last decade. The custom duties for software imports were reduce 112 percent 1991 to merely 10 percent in the recent times. The development of the ICT in the recent years due to declaration of IT sector is one of five National priorities. The cost-benefit analysis is feasible for ICT due to the introduction of 10 years tax exemption for software producing companies located in free economic zones and STPs, thus reducing the cost of IT related products and service to a reasonable effect. The training of the relevant staff, which is using ICT, enables services for optimum utilizations of resources through innovative collaboration, which results evaluate of cost-benefit analysis of the library.

The strategic decisions taken by the information scientist/librarian regarding the implementation of ICT is finalized by taking into cost-benefit analysis of various inputs. The information must be managed itself and cost-benefit analysis is the best solutions for the using of such information are measured in shape of its cost-benefit analysis. The cost-benefit analysis are instrumental

in developing a strategy for identify specific ICT opportunities for innovation and for sighting process for rapid adoption to new technology in an optimistic manners. The learning and educational Programme in the field of ICT helps in the effective utilization of various sources ICT and thus, help in reducing the escalating cost of education. The good and sound ICT helps in attracting sound investment and foreign players, thus reduce the elementary cost of an institution/organization. ICT is a key factor contribution to a nation's development, and as a cohesive force for integrating a nation into global economy. The assessment of staff and manpower related with ICT is another thing to take into consideration for the cost-benefit analysis of different types of libraries and institution by taking into account their job-description, job-specifications, job analysis, etc.

## Self Assessment

Fill in the blanks:

1. A budget is a plan that outlines an organizations financial and ..... .
2. S.W.O.T. stands for ..... .
3. Narayna in ..... explained the concept of cost-accounting different types of cost etc.
4. A ..... requires that each program be justified each year.

## 11.4 Summary

- A **Budget** is a plan that outlines an organization's financial and operational goals. So a budget may be thought of as an action plan; planning a budget helps a business allocate resources, evaluate performance, and formulate plans.
- The first step in developing a library budget is to consider what the library hopes to accomplish in the next year.
- The second step is to determine the total financial resources necessary for what the library wants to accomplish in the coming year.
- The Accounting Library is dedicated to serving the educational and research needs of the students and faculty of the Leventhal School of Accounting by providing access to quality accounting and taxation resources, reference and research services, and classroom instruction.
- The cost benefit analysis play an important role in the smooth functioning of an organization and helps in the optimum utilization of its resources. Information and Communications Technology (ICT) has accelerated exceptionally during the last decade, which has also increased the cost of it.
- The concept of cost-benefit analysis is now increasing day by day and applied to all the areas of the library.
- The cost of ICT has been changed so much in the last decade. The custom duties for software imports were reduce 112 percent 1991 to merely 10 percent in the recent times.

## 11.5 Keywords

- Citizenry** : Electorate.
- LSTA** : Library Services and Technology Act.



Notes	<b>ICT</b>	: Information and Communication Technology.
	<b>UNIDO</b>	: United Nation Industrial Development Organization.
	<b>COECD</b>	: Center for Organization of Economic Co-operation and Development.

### **11.6 Review Questions**

1. Write on Library Walkabout Worksheet.
2. What are the different types of budgets?
3. What are the processes of budget development?
4. Write briefly on S.W.O.T. Analysis Worksheet.
5. Write a short note in meaning of cost.
6. Explain the accounting and auditing.
7. Write down the needs and importance cost-benefit analysis.
8. Write a short note on costing and cost analysis of libraries services.
9. Describe the information and communications technology.

### **Answers: Self Assessment**

1. Operational goals
2. Strengths, Weaknesses, Opportunities and Threats
3. 1991
4. Zero base budget

### **11.7 Further Readings**



- Books**
- Planning Budget in Libraries, New Delhi: Faruqi, Khalid, K.ed., Anmol Pub, 1997.*  
*Planning Library Buildings, New Delhi: Faruqi, Khalid, K. Anmol Pub, 1998.*  
*Library Management of Staff Training and Development, Delhi: Iyer, V.K. Rajat, 1999.*



- Online links**
- <http://tutor2u.net/business/accounts/introduction-to-budgets.htm>  
[http://nopr.niscair.res.in/bitstream/123456789/4119/1/ALIS%2050\(3\)%20115-123.pdf](http://nopr.niscair.res.in/bitstream/123456789/4119/1/ALIS%2050(3)%20115-123.pdf)  
[http://www.ehow.com/about\\_5498787\\_library-swot-analysis.html](http://www.ehow.com/about_5498787_library-swot-analysis.html)

## Unit 12: Academic Library

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### Objectives

After studying this unit, you will be able to:

- Know about the academic library
- Discuss the collections and services development
- Describe the libraries and information society
- Explain the evaluation and effectiveness.

### Introduction

Education aims, among other things, to impart knowledge and make good citizens. Libraries are the repositories of knowledge and form an integral part of this process. Academic libraries are an integral part of a college, university, or other institution of postsecondary education, mandated to meet the information and research needs of its students, faculty, and staff. Academic libraries are considered to be the nerve centres of academic institutions and must support teaching, research, and other academic programmes. The situation in academic libraries of India is the same as that of academic libraries the world over; however, Indian libraries are constrained to provide maximum information with limited resources.

With the advent of computers, the nature of libraries has changed dramatically. Computers are being used in libraries to process, store, retrieve and disseminate information. As a result, the traditional concept of library is being redefined from a place to access books to the one which houses the most advanced media including CD-ROM, Internet, and remote access to a wide range of resources. Libraries have now metamorphosed into digital institutions. Gone are the days when a library was judged by its quantitative resources. Today, libraries are

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surrounded by networked data that is connected to a vast ocean of Internet-based service. Moreover, electronic resources relevant to the professions are developing at an unprecedented pace. Change management is a systematic approach to deal with change, both from the perspective of an organization, *i.e.*, academic library, in and on the individual level. A somewhat ambiguous term, change management has at least three different connotations, including: adapting to change, controlling to change, and effecting to change. A proactive approach in dealing with change is at the core of all three aspects. For a library and information centres, change management means defining and implementing procedures and/or technologies to deal with changes in the library environment and to provide better services to clientele with changing opportunities.

## **12.1 Academic Library**

An **academic library** is a library that is attached to academic institutions above the secondary level, serving the teaching and research needs of students and staff. These libraries serve two complementary purposes: to support the school's curriculum, and to support the research of the university faculty and students.

The support of teaching requires material for class readings and for student papers. In the past, the material for class readings, intended to supplement lectures as prescribed by the instructor, has been called reserves. In the period before electronic resources became available, the reserves were supplied as actual books or as photocopies of appropriate journal articles. Traditionally, one copy of a book was made available for each 10 students this is practical for large classes only if paperback copies are available, and the books reused from term to term.

Academic libraries must decide what focus they take in collecting materials since no single library can supply everything. When there are particular areas of specialization in academic libraries these are often referred to as niche collections. These collections are often the basis of a special collection department and may include original papers, artwork, and artifacts written or created by a single author or about a specific subject.

### **12.1.1 History**

#### ***United States***

The first colleges in the United States were intended to train members of the clergy. The libraries associated with these institutions largely consisted of donated books on the subjects of theology and the classics. In 1766, Yale had approximately 4,000 volumes, second only to Harvard. Access to these libraries was restricted to faculty members and a few students: the only staff was a part-time faculty member or the president of the college. The priority of the library was to protect the books, not to allow patrons to use them. In 1849, Yale was open 30 hours a week, the University of Virginia was open nine hours a week, Columbia University four, and Bowdoin College only three. Students instead created literary societies and assessed entrance fees in order to build a small collection of usable volumes often in excess of what the university library held.



*Notes* Around the turn of the century, this approach began to change. The American Library Association was formed in 1876, with members including Melville Dewey and Charles Ammi Cutter. Libraries re-prioritized in favor of improving access to materials, and found funding increasing as a result of increased demand for said materials.

Academic libraries today vary in regard to the extent to which they accommodate those who are not affiliated with their parent universities. Some offer reading and borrowing privileges to members of the public on payment of an annual fee; such fees can vary greatly. The privileges so obtained usually do not extend to such services as computer usage, other than to search the catalog, or Internet access. Alumni and students of cooperating local universities may be given discounts or other consideration when arranging for borrowing privileges. On the other hand access to the libraries of some universities is absolutely restricted to students, faculty, and staff. Even in this case, they may make it possible for others to borrow materials through inter-library loan programs.

Libraries of land-grant universities generally are more accessible to the public. In some cases they are official government document repositories and so are required to be open to the public. Still, members of the public are generally charged fees for borrowing privileges, and usually are not allowed to access everything they would be able to as students.

### 12.1.2 Management and Change

The effective management of change is fundamental to a successful and productive organization. Yet the inherent unpredictability of the change dynamics often confounds management and it may be the greatest challenge a manager may face. It has been suggested that the changes we are experiencing as we reach the 21<sup>st</sup> Century are altogether more radical than those we have been used to, so that instead of incremental change we are experiencing discontinuous change.

Handy (1991) suggests that the changes we encounter will not require just a shift in attitude, but will demand a whole new perspective. In such a time of continuous change, development and growing uncertainty, organizations must be receptive and responsive to their environment if they are to transform the intrinsic threats of change into opportunities. If this is the case now, then it will increasingly be so as we enter the next century. The openness and ability to adapt that is necessary for such radical transformation lies not only in the nature and structure of the organisation, but crucially, in the people who are involved. Without staff cooperation at all levels, a manager's attempt to initiate change will be difficult, painful, and quite probably, futile. Indeed, "research indicates that 90 per cent of change initiatives that fail do so because human factors were not taken adequately into account".

Although management theories tend to be generalised, and may be applicable to any organisation, some approaches are more appropriate for certain organisations than others. The way in which a management structure relates to the nature and tasks of an organisation is vital in determining the suitability of any given theory of management. Dougherty and Heinritz (1985) argue that libraries' work and output should be systematically quantified using scientific management theory in order to be efficient, and to satisfy demands for accountability. Several other writers, however, including Jones and Lynch, classify libraries as bureaucracies, resulting from the highly structured and routine nature of much of their work, such as cataloguing, classifying and indexing. The application of rules, regulations and codification characterize a bureaucratized profession and "emerge from the library's attempt to ensure its efficiency and its competency and from its attempt to minimise the impact of outside influences".

The problem for the present and future management of libraries, in an increasingly changing profession, is whether libraries can adopt a more appropriate approach to deal with the consequences of organisational change. The first step towards effective management of change in libraries is the acknowledgement and understanding of the human element in organisations. This is emphasised by Thapisa (1993) who suggests that "structures, by themselves, are neither efficient nor able to create effective organizations. It is people who achieve this, and it is they who should be more efficient and effective." Issues surrounding the motivation, deployment and

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job satisfaction of employees are vital in this context. Job dissatisfaction and lack of motivation are identified by Srinath (1993) as vital organizational factors which must be addressed effectively by personnel management in libraries today if they are to develop an appropriate organizational climate which is open, dynamic and adaptable to change. If motivation is an issue in day to day work, then in times of organisational change – which require increased physical, psychological and emotional effort on the part of employees – it is absolutely essential.

A strategy for the management of organizational change must appreciate the influence of organisational structure and management style on the change process. Successful change will be facilitated by the serious consideration by managerial staff of certain human resource management concerns, such as communication, staff involvement, training and development and job design. It is these issues which must be addressed if staffs are to be encouraged to accept change, for without their acceptance, any change attempt may be futile.

### **12.1.3 Changes in Academic Libraries**

Academic librarianship is purported to have changed more over the last few decades than in its entire previous history, and it is suggested that the academic librarians in India have to redefine their roles, and indeed to refine their understanding of what they were trying to do in this decade. The factors affecting change may be divided into four categories: economics, technology, higher education and organisation. Although it must be remembered that it is the particular combination of factors that is causing the major impact on libraries, for reasons of clarity each category will be examined individually. There are also two types of drivers that affect the environment of academic library such as external drivers and internal drivers.

The economic forces faced by academic libraries are not only some of the greatest concerns in this sector, but also compound the problems posed by other forces, Diminishing or stagnant library funding has led to a greater demand for accountability in library spending and the advocating of quality audits and performance measurement as tools to increase efficiency. In addition, libraries are increasingly looking to other sources of income and fund-raising activities such as charging for certain services to alleviate this problem.



*Did u know?* The increasing costs of books and journals has fuelled the “access” versus “holdings” debate, and led to increasing reliance on inter-library loans and collaborative and co-operative arrangements.

## **12.2 Collections and Services Development**

**Library collection development** is the process of meeting the information needs of the people (a service population) in a timely and economical manner using information resources locally held, as well as from other organization.

Collections are developed by librarians and library staff by buying or otherwise acquiring materials over a period of time, based on assessment of the information needs of the library’s users. In addition to ongoing materials acquisition, library collection development includes:

- the creation of policies to guide material selection
- replacement of worn or lost materials
- removal (weeding) of materials no longer needed in the collection

- planning for new collections or collection areas
- cooperative decision-making with other libraries or within library consortia.

### 1. End of Libraries

We live in the “end-of-everything” era: the end of time and space, the end of ideology, the end of geography, the end of history, the end of the nation state, even the end of hope for Africa. In this same vein, the end of libraries has been proclaimed. Libraries are supposedly being swept away by the digital revolution. Yet, library power is still very alive, and has become even more potent in this new age. This priceless power leverages accumulated human intellect efficiently into human progress. From this power issues the springs of literacy and knowledge, the seeds of democracy, and the fuel of productivity. The library as a catalyst for human progress is irreplaceable.

In spite of their enormous power to propel human progress, libraries are increasingly asked to justify the resources spent on them, to justify even their very existence. In this climate, libraries must be accountable, responsive, and effective in portraying the value of their services to funding authorities, be they public or private. These imperatives have led to a new emphasis on quantitative assessments to provide hard evidence about the extent of their value to the society or their sponsors. Secondly as online information become more and more available, arguments against funding of libraries are increasing in number and loudness. Therefore, assuring the proper functioning of libraries depends on demonstrating their value in the widest sense and to their widest audiences.

### 2. Libraries Add Value Even in Monetary Terms

Research has produced hard facts that libraries pay fully for their existence, and even produce positive returns on the investments made on them. For example, long-term studies of technical libraries using return on investment analysis (ROI) established that in monetary terms libraries produce 515% annual return on investment that is five times more than what is invested on them per annum (Keyes, 1995; Griffiths and King, 1993). Cost-benefit analysis also showed that the benefits derived from library services outweigh the cost of providing them.

These results were mainly based on the following value dimensions:

- The cost of library users’ time, weighed against the cost of providing professional library services;
- All costs associated with obtaining a piece of library service on an ad-hoc basis weighted against the costs of obtaining it from a professionally organized in-house library service;
- The value of having the right information at the right time to increase the speed of an operation or prevent the undertaking of a potentially useless or wasteful process or project, modifying work, or stopping an unproductive line of work; and
- The cost a person is willing to pay for library services to enable him or her to successfully complete a project.
- Return on investment analysis of public library services also show evidence of high value-added. For example, the table below, which is from an annual report of a public library district of a developed country, shows how investment in library service yielded more than fivefold return when compared to the monetarily valued outcomes.

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Task Write the advantages of attaching the academic libraries with the academic institutions.

### 3. What Development?

Libraries achieve high value-added at the level of the institution, but of what value are they in community and national development? The answer to this question depends on what we think the goals of development are. In classical terms, the purpose of development is to attain increased productivity for economic growth. Economic growth has not however, provided solution to rural exodus, marginalization of the weak, galloping urbanization, proliferation of shanty-towns, mass unemployment, increased poverty and spread of deadly diseases. As Julius Nyerere stated, “the truth is that development means the development of people. Roads, buildings, the increases in crop output, or other things of that nature, are not development; they are only tools of development”. This and similar thread of thinking lead to the notion of human development: the increasing of people’s chances to acquire knowledge and have access to resources that would enable them to lead healthy, gainful and dignified life. To be pragmatic, development efforts should be aligned with the current regional and global development strategies such as the New Partnership for Africa’s Development (NEPAD) and the Millennium Development Goals (MDGs) which are multidimensional and lay emphasis on human development and sustainability (United Nations, 2002). Libraries can play direct as well as catalytic roles in contemporary development initiatives. The many dimensions of these roles are outlined below.

### 4. Libraries Harness Information and Knowledge

Libraries increase the value of human intellectual outputs by increasing access to them through professional processing, storage and dissemination. Processing and organisation moves ideas, data and other primary intellectual outputs from raw bytes to information. The world’s intellectual outputs would be useless, even constitute a nuisance, if libraries were not there to gather, analyze, classify, catalogue and provide access to them. The hundreds of bibliographic records of published and unpublished materials ensure their use and reuse to satisfy commercial, educational, cultural and recreational needs.

### 5. Critical in the Educational Process and Continuing Development of Intellectual Capital

The educational and research role of libraries cannot be over-emphasized. Research has found that libraries make significant contributions to the effectiveness of the education process. Learners from institutions where library use is part of the learning process are more likely to become equipped for the society and occupational effectiveness than those without proper library habits. Libraries are also central for the development of literacy, a critical component of the development of intellectual capital of a community, an attribute which initiates a ripple effect on an individual’s ability to become gainfully employed, increase his or her income and make effective contributions to society. Community members use library services and library programmes for everything from introducing their children to the habit and joy of reading, to tapping into their professional networks.

## 6. Catalyst for Economic Development at the Local and National Levels

Notes

Economic development effort is simply any activity that raises real incomes, thereby offering new hopes of expanded opportunities for people, communities, and enterprises. As both the global and national economies become more and more knowledge-driven, specialized knowledge has become the indispensable asset for further economic development. Local businesses benefit greatly in specific ways from libraries, including access to new ideas, knowledge and information. In particular, relocating businesses, start-up businesses, and small businesses of all kinds are perceived as enjoying the greatest benefits from library products and services. Indeed, existence of libraries has been cited as a reason for a business' decision to relocate to a particular community. Studies also found that business information resources were significantly more valuable with expert help of library staff. In other words, not only are information sources themselves viewed as important resources for people seeking mission-oriented information, but professional services provided by librarians are believed by many to be critical factors in finding, accessing and utilizing information resources to the fullest extent, especially with regard to electronic resources.

Studies further suggest that for any nation to be effective in the global economy, its institutions of higher learning must do more than just prepare an educated workforce and expand knowledge through research and scholarship. They must get involved in local economic development (Matson et al, 1995). Libraries in these institutions can play an important role in effecting extension of economic development knowledge to the community. The main physical manifestations of economic knowledge extension services by higher institutions are economic development information centers (EDICs). The type of information provided in EDICs includes: general economic and industry-specific statistics, economic forecasts, trade statistics, market surveys, census data, tax and regulatory requirements, cost-of-living and cost-of-doing-business data, and information on general business practices, financial planning, as well as employee benefits and compensation. "How to" materials ranging from starting a business to entering foreign markets are also an important part of a typical core collection (Miele and Welch, 1995). Training in basic business planning and management could also be provided.



*Notes* A library may offer extension services as part of its service portfolio or develop an EDIC unit to focus on local economic development services.

## 7. Direct Economic Benefits to Members of the Community

Many direct benefits from library services accrue to individuals. These include cost savings from borrowing materials rather than having to buy them; borrowing of such items as audio books and videotapes, which save significant expenditures; and the use of periodicals and newspapers which result in financial benefit. There is a dual nature to this: first, users save the cost of purchasing these items themselves; and second, many users have been better able to manage their lives as a result of information obtained. In fact, some quality of life indexes, for example best places to live, best places to raise children, and best places to retire, include "library books per capita" statistic when profiling communities.

Libraries enhance productivity of individuals and organisations. Access to the right information is a very critical component in the productivity of information workers, and consequently the productivity and good decision-making of the organizations employing them. For the self-employed knowledge worker, use of libraries make them more productive on their jobs, especially



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as they can obtain job related training in the areas of computer and information literacy skills and good business practices.

**8. Social Inclusion and Cohesion, Participation and Empowerment**

Libraries perform an important role of social inclusion when they serve the needs of disadvantaged populations such as the poor, the elderly, the physically disabled, the unemployed and those with learning disability, because these are exactly the groups least likely to have the means to acquire such assets as information sources, computers and Internet access (CILIP, 2002). Libraries also serve as agents of social cohesion. In one study, a participant said: “we are brought closer to other members of our community through the very act of sharing books with them” (Usherwood and Toyne, 2000). For this reason, social inclusion and life-long learning agenda of most developed countries include the founding of new public libraries and increased information and library provision for learners at all levels and of all ages.

**9. Civic Centre and Community Information Service**

For many communities and organizations, libraries serve as civic centers, which assist them in meeting their civic duties by offering meeting space for civic organizations, assisting with voter registration, and making government forms available, including tax forms. Libraries also serve as a posting place for proposed changes in local ordinances, and other local government proposals. As a community centre, the library introduces users to new systems of doing things during changeover programmes. A variety of other programmes are offered, such as story telling, technology education, and recreational activities. Valued in most places is the availability of meeting rooms for voluntary groups, which represent monetary savings to them. Libraries also serve the public by providing assistance in finding answers to many basic questions: from how to find jobs to where to find up-to-date health and legal information. The information the library provides to answer some of these important questions can lead to significant economic benefits and impacts.

**10. Essential Element of Physical Development**

Research also found that communities value their libraries as physical assets and a source of community pride. Indeed, libraries, especially public and national libraries, are important landmarks in many cities and other communities. Participants in a survey stated many times that the presence of a new library, or the redevelopment of an existing one, favorably impacted on its immediate surroundings.

**11. Libraries and Citizen Empowerment, Democracy and E-Government**

Effective citizen action is possible only when citizens know how to gain access to information of all kinds and have the skills to become responsible, informed participants in democracies. This is especially so as e-government evolves. Libraries offer real and virtual civic spaces where citizens can speak freely, share similar interests and concerns, and pursue what they believe are in their public’s interest. Ultimately, free discourse among informed citizens assures civil society; and civil society provides the social capital necessary to achieve common goals. Through this role libraries prevent the lack of information and idea exchanges which in a closed society stifles creativity, suppresses the imagination and creates a barrier to social, economic and technical progress (Berger, 1991). E-government is about using the power of information technology to provide better public services. The main dimensions of an e-government

strategy include: building services around citizens' choices, making government and its services more accessible, ensuring social inclusion and ensuring two-way communication between the government and the governed. Governments have always depended on libraries to collect and disseminate government information, but e government adds very new and valued dimensions: the citizen empowering potential reinforced by virtual access and the possibility to hold governments accountable without physical confrontation.

### 12. Bridge Digital Divide along with the Economic Gap

Studies show that, only people and businesses in the higher income brackets are able to afford the hardware, software and connectivity costs required to participate in the information revolution, including e-commerce. The need for access to the Internet is however not limited to people and businesses with discretionary income, and it is here that libraries are well positioned to help bridge the economic gap along with the digital divide. From individuals who might not be able to afford computer technology at home to many small and home-based businesses, the library can provide the necessary connections to help prevent the division of our society into information "haves and have-nots." The western-style universal access is not a practical reality in African countries where much of the population cannot afford individual access. Instead, focus should be on providing access through community facilities like libraries and schools. In this role, libraries can help in poverty alleviation since information poverty often is the basis of economic poverty. In the information age, access to information has a place alongside adequate food, health care, education, and other basic needs.

This phenomenon has broadened the definition of poverty to include information poverty. More so, when it has become clear those people and nations who cannot or will not participate fully in the new information economy will find it all the more difficult to climb out of poverty. Just as today, books are a chance for ordinary people to better themselves, in the information society, access to cyberspace will be a route to better prospects. But just as books are freely available from libraries, the door of libraries should lead everyone to cyberspace toll-free. In the information society this real chance for equality of opportunity through libraries should remain.

### 13. Libraries and the Information Society

Despite the popular misconception, libraries have never confined themselves to books. Indeed, libraries pre-dated the invention of the book, collecting papyrus scrolls (the original Alexandria Library was a good example) and manuscripts (the mediaeval monastery libraries, for instance). For libraries therefore, content is much more important than the medium. In fact, the information revolution is aiding the library movement by reinforcing the material-virtual duality of knowledge and information and helping in transforming our society into an information society based on a strong foundation of knowledge which is universal, objective, timely and drawing from a variety of sources. In developed countries, libraries are taking the lead in Internetization, digitalization and virtualization of access to knowledge. Special online services are being developed to support lifelong learning, provide health advice and information, and give citizens access to official documents free of copyright restrictions.

Thus libraries are becoming not only Internet access points, but also places where people may receive help in using the Internet and other information sources. Governments implementing digital opportunity programmes do them in cooperation with libraries. For example, in implementing its policy to ensure universal access to the Internet, the UK Government located two thirds of the 6,000 ICT learning centers billed to open in 2002 in public libraries (CILIP, 2002). Libraries are helping to build viable global communities based on local-global networks that enable

**Notes**

individuals and groups to explore their respective and common futures, and create synergy through sharing of knowledge and experience. Local-global networking will become a means of making globalization to suit local conditions, as knowledge and information sharing will make globalization desirable through universalism, a new form of understanding that results from shared values engendered by constant exchange of experience.

**Self Assessment**

Multiple choice questions:

1. The first colleges in the ..... were intended to train members of the clergy.  
(a) United Kingdom (b) United States  
(c) United Nation (d) Japan
2. The effective management of change is fundamental to a ..... and productive organization.  
(a) successful (b) unsuccessful  
(c) complete (d) incomplete
3. The ..... and research role of libraries can not be over-emphasized.  
(a) development (b) institutional  
(c) educational (d) none of these
4. Many ..... benefits from library services accrue to individuals.  
(a) direct (b) indirect  
(c) extra (d) none of these

**12.3 Evaluation and Effectiveness**

**Evaluation** is systematic determination of merit, worth, and significance of something or someone using criteria against a set of standards.

Evaluation often is used to characterize and appraise subjects of interest in a wide range of human enterprises, including the arts, criminal justice, foundations and non-profit organizations, government, health care, and other human services.

**Definition**

Evaluation is the comparison of actual impacts against strategic plans. It looks at original objectives, at what was accomplished and how it was accomplished. It can be formative that is taking place during the life of a project or organisation, with the intention of improving the strategy or way of functioning of the project or organisation. It can also be summative, drawing lessons from a completed project or an organisation that is no longer functioning.



*Did u know?* Evaluation is inherently a theoretically informed approach (whether explicitly or not), and consequently a definition of evaluation would have to be tailored to the theory, approach, needs, purpose and methodology of the evaluation itself.

Having said this, evaluation has been defined as:

- A systematic, rigorous, and meticulous application of scientific methods to assess the design, implementation, improvement or outcomes of a program. It is a resource-intensive process, frequently requiring resources, such as, evaluator expertise, labour, time and a sizeable budget.
- ‘The critical assessment, in as objective a manner as possible, of the degree to which a service or its component parts fulfils stated goals’ (St Leger and Walsworth-Bell). The focus of this definition is on attaining objective knowledge, and scientifically or quantitatively measuring predetermined and external concepts.
- ‘A study designed to assist some audience to assess an object’s merit and worth’ (Shufflebeam). In this definition the focus is on facts as well as value laden judgements of the programs outcomes and worth.

### Purpose

The main **purpose** of a program evaluation can be to “determine the quality of a program by formulating a judgment” Stake and Schwandt (2006).

An alternative view is that “projects, evaluators and other stakeholders (including funders) will all have potentially different ideas about how best to evaluate a project since each may have a different definition of ‘merit’. The core of the problem is thus about defining what is of value.” From this perspective, evaluation “is a contested term”, as “evaluators” use the term evaluation to describe an assessment, or investigation of a program whilst others simply understand evaluation as being synonymous with applied research.

Not all evaluations serve the same purpose some evaluations serve a monitoring function rather than focusing solely on measurable program outcomes or evaluation findings and a full list of types of evaluations would be difficult to compile. This is because evaluation is not part of a unified theoretical framework, drawing on a number of disciplines, which include management and organizational theory, policy analysis, education, sociology, social anthropology, and social change.

### Discussion

Within the last three decades there have been tremendous theoretical and methodological developments within the field of evaluation. Despite its progress, there are still many fundamental problems faced by this field as “unlike medicine, evaluation is not a discipline that has been developed by practicing professionals over thousands of years, so we are not yet at the stage where we have huge encyclopaedias that will walk us through any evaluation step-by-step”, or provide a clear definition of what evaluation entails (Davidson, 2005). It could therefore be argued that a key problem that evaluators face is the lack of a clear definition of evaluation, which may “underline why program evaluation is periodically called into question as an original process, whose primary function is the production of legitimate and justified judgments which serve as the bases for relevant recommendations.” However, the strict adherence to a set of methodological assumptions may make the field of evaluation more acceptable to a mainstream audience but this adherence will work towards preventing evaluators from developing new strategies for dealing with the myriad problems that programs face.

It is claimed that only a minority of evaluation reports are used by the **evaluand** (client) (Datta, 2006). One justification of this is that “when evaluation findings are challenged or utilization has failed, it was because stakeholders and clients found the inferences weak or the

**Notes**

warrants unconvincing” (Fournier and Smith, 1993). Some reasons for this situation may be the failure of the evaluator to establish a set of shared aims with the evaluand, or creating overly ambitious aims, as well as failing to compromise and incorporate the cultural differences of individuals and programs within the evaluation aims and process.

None of these problems are due to a lack of a definition of evaluation but are rather due to evaluators attempting to impose predisposed notions and definitions of evaluations on clients. The central reason for the poor utilization of evaluations is arguably due to the lack of tailoring of evaluations to suit the needs of the client, due to a predefined idea (or definition) of what an evaluation is rather than what the client needs are (House, 1980).

**Standards**

Depending on the topic of interest, there are professional groups which look to the quality and rigor of the evaluation process.

The Joint Committee on Standards for Educational Evaluation has developed standards for program, personnel, and student evaluation. The Joint Committee standards are broken into four sections: Utility, Feasibility, Propriety, and Accuracy. Various European institutions have also prepared their own standards, more or less related to those produced by the Joint Committee. They provide guidelines about basing value judgments on systematic inquiry, evaluator competence and integrity, respect for people, and regard for the general and public welfare.

The American Evaluation Association has created a set of Guiding Principles for evaluators. The order of these principles does not imply priority among them; priority will vary by situation and evaluator role. The principles run as follows:

- **Systematic Inquiry:** Evaluators conduct systematic, data-based inquiries about whatever is being evaluated.
- **Competence:** Evaluators provide competent performance to stakeholders.
- **Integrity / Honesty:** Evaluators ensure the honesty and integrity of the entire evaluation process.
- **Respect for People:** Evaluators respect the security, dignity and self-worth of the respondents, program participants, clients, and other stakeholders with whom they interact.
- **Responsibilities for General and Public Welfare:** Evaluators articulate and take into account the diversity of interests and values that may be related to the general and public welfare.

Furthermore, the international organizations such as the I.M.F. and the World Bank have independent evaluation functions. The various funds, programmes, and agencies of the United Nations has a mix of independent, semi-independent and self-evaluation functions, which have organized themselves as a system-wide UN Evaluation Group (UNEG), that works together to strengthen the function, and to establish UN norms and standards for evaluation. There is also an evaluation group within the OECD-DAC, which endeavors to improve development evaluation standards.



*Task* What do you mean by evaluation and effectiveness?

## Approaches

## Notes

Evaluation approaches are conceptually distinct ways of thinking about, designing and conducting evaluation efforts. Many of the evaluation approaches in use today make truly unique contributions to solving important problems, while others refine existing approaches in some way.

### Classification of Approaches

Two classifications of evaluation approaches by House and Stufflebeam and Webster can be combined into a manageable number of approaches in terms of their unique and important underlying principles.

House considers all major evaluation approaches to be based on a common ideology, liberal democracy. Important principles of this ideology include freedom of choice, the uniqueness of the individual, and empirical inquiry grounded in objectivity. He also contends they are all based on subjectivist ethics, in which ethical conduct is based on the subjective or intuitive experience of an individual or group. One form of subjectivist ethics is utilitarian, in which “the good” is determined by what maximizes some single, explicit interpretation of happiness for society as a whole. Another form of subjectivist ethics is intuitionist / pluralist, in which no single interpretation of “the good” is assumed and these interpretations need not be explicitly stated nor justified.

These ethical positions have corresponding epistemologies or philosophies of obtaining knowledge. The objectivist epistemology is associated with the utilitarian ethic. In general, it is used to acquire knowledge capable of external verification (intersubjective agreement) through publicly inspectable methods and data. The subjectivist epistemology is associated with the intuitionist / pluralist ethic. It is used to acquire new knowledge based on existing personal knowledge and experiences that are (explicit) or are not (tacit) available for public inspection.

House further divides each epistemological approach by two main political perspectives. Approaches can take an elite perspective, focusing on the interests of managers and professionals. They also can take a mass perspective, focusing on consumers and participatory approaches.

Stufflebeam and Webster place approaches into one of three groups according to their orientation toward the role of values, an ethical consideration. The political orientation promotes a positive or negative view of an object regardless of what its value actually and might be. They call this pseudo-evaluation. The questions orientation includes approaches that might or might not provide answers specifically related to the value of an object. They call this quasi-evaluation. The values orientation includes approaches primarily intended to determine the value of some object. They call this true evaluation.

When the above concepts are considered simultaneously, fifteen evaluation approaches can be identified in terms of epistemology, major perspective (from House), and orientation. Two pseudo-evaluation approaches—politically controlled and public relations studies—are represented. They are based on an objectivist epistemology from an elite perspective. Six quasi-evaluation approaches use an objectivist epistemology. Five of them—experimental research, management information systems, testing programs, objectives-based studies, and content analysis—take an elite perspective. Accountability takes a mass perspective. Seven true evaluation approaches are included. Two approaches, decision-oriented and policy studies, are based on an objectivist epistemology from an elite perspective. Consumer-oriented studies are based on an objectivist epistemology from a mass perspective. Two approaches—accreditation/certification and connoisseur studies—are based on a subjectivist epistemology from an elite perspective. Finally, adversary and client-centered studies are based on a subjectivist epistemology from a mass perspective.

Notes

Literature Review

Nigeria's agricultural research institutes in Nigeria were founded during the period of colonial administration (1861-1950). They passed through the periods of internal self-government (1951-1960), and have continued to develop and grow during the post-independence era. There are fourteen agricultural research institutes in Nigeria, which were founded in different circumstances at different times to satisfy different agricultural needs (Idachaba 1987). The purpose of these institutes is to conduct research in various areas of agriculture to enhance agricultural production. Research results are communicated to farmers through agricultural extension. Each institute's responsibilities call for specialized information collections to achieve their objectives and to function efficiently. The agricultural research library is responsible for supplying and organizing information that is relevant to the work of the institutes. The agricultural research libraries face problems that may make them ineffective: poor funding, poor infrastructure, and lack of technology. These libraries cannot improve without evaluation of the present situation. This study assesses the level of user satisfaction with agricultural research institutes' library resources in order to identify impediments to effectiveness and offer research-based solutions.

Nigerian agricultural research institutes face rising demand for scientific data and information, which places more demand on the libraries. Fabunmi (2004) describes library effectiveness as including information customized to meet individual needs, stating that effective library systems are timely in delivery, meet their specific needs, are easy to understand/use, and are delivered by courteous and knowledgeable staff. Effective research libraries provide ICTs that aid timely delivery of information in response to researchers' needs. ICTs are combined with standardized information delivery techniques. Librarians in administrative and management positions coordinate these things to provide an effective system. Nwalo (1997) advises that library effectiveness be measured in terms of the satisfaction expressed by library users.

The effectiveness of library resources and services can be measured in various ways. Nwalo (1997) citing Ene (1978) states, "libraries are judged by set objectives... [And] application of set standards to measure the quantity of operations..." Ifidon (1977) observes that library evaluation can use both qualitative and quantitative techniques. Irrespective of whether the evaluation is quantitative or qualitative, parameters are set to be judged by users, who are in the best position to evaluate the effectiveness of the library. Agricultural institute researchers should have the prerogative of evaluating the agricultural research institute libraries. Kellaheer (2005) gives six reasons why library evaluation from user's perspective is very important.

- the place of initiative services;
- the quality of these services;
- the flexibility of these services;
- users ability to effect changes to services they receive;
- how initiative service can fit with mainstream services; and
- how the library might develop mechanisms for assuring quality in library resources and services.

The scope of this study covers facilities available in the libraries, serials collection, library services, and special services such as selective dissemination of information (SDI), current contents search, and reprography. Library adequacy variables in this study are internal to the library.

## Self Assessment

Notes

State whether true or false:

5. Evaluation is systematic determination of metrix, worth and significance of something.
6. Evaluation is the comparison of actual impacts against strategic plans.
7. Nigeria's agricultural research institutes in Nigeria were founded during the period of 1961–1990.
8. The effectiveness of library resources and services can be measured in only one way.

### 12.4 Summary

- An **academic library** is a library that is attached to academic institutions above the secondary level, serving the teaching and research needs of students and staff.
- The effective management of change is fundamental to a successful and productive organization.
- **Library collection development** is the process of meeting the information needs of the people (a service population) in a timely and economical manner using information resources locally held, as well as from other organization.
- Economic development effort is simply any activity that raises real incomes, thereby offering new hopes of expanded opportunities for people, communities, and enterprises.
- **Evaluation** is systematic determination of merit, worth, and significance of something or someone using criteria against a set of standards.
- The main **purpose** of a program evaluation can be to “determine the quality of a program by formulating a judgment” Stake and Schwandt (2006).
- Depending on the topic of interest, there are professional groups which look to the quality and rigor of the evaluation process.

### 12.5 Keywords

<b>EDICs</b>	: Economic Development Information Centers.
<b>ROI</b>	: Return on Investment Analysis.
<b>NEPAD</b>	: New Partnership for Africa's Development.
<b>MDGs</b>	: Millennium Development Goals.
<b>SDI</b>	: Selective Dissemination of Information.

### 12.6 Review Questions

1. Explain the academic library.
2. Describe the collections and services development.
3. Explain the Changes in Academic Libraries.



**Notes**

4. Discuss the Libraries Add Value even in Monetary Terms.
5. What is the purpose of evaluation?
6. Write briefly on definition of evaluation.
7. What is the Essential Element of Physical Development?
8. What are the classifications of evaluation approaches?
9. Write a paragraph on Direct Economic Benefits to Members of the Community.
10. Discuss in detail evaluation and effectiveness.

**Answers: Self Assessment**

- |                      |                   |
|----------------------|-------------------|
| 1. (b) United States | 2. (a) Successful |
| 3. (c) Educational   | 4. (a) Direct     |
| 5. True              | 6. True           |
| 7. False             | 8. False          |

**12.7 Further Readings**



- Books*
- Effective Library and Information Centre Management*, Bryson, Jo., Hants: Gower, 1990.
- Planning Library Buildings, New Delhi*: Faruqi, Khalid, K. Anmol Pub, 1998.
- Stock verification in Libraries: Problems and Solutions, Delhi*: Gupta, S.R., Ken Publications, 1990.



- Online links*
- <http://www.dlib.org/dlib/may03/marcum/05marcum.html>
- [http://www.emro.who.int/lin/media/pdf/handbook\\_chap2\\_1.pdf](http://www.emro.who.int/lin/media/pdf/handbook_chap2_1.pdf)
- <http://www.socialresearchmethods.net/kb/intreval.php>

## Unit 13: Control Techniques

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### Objectives

After studying this unit, you will be able to:

- Explain the budgetary and non budgetary devices
- Discuss the problem in budgetary
- Describe the characteristics, organization and administration of a budget
- Define the management information system.

### Introduction

The Library of Congress Control Number or LCCN is a serially based system of numbering cataloging records in the Library of Congress in the United States. It has nothing to do with the contents of any book, and should not be confused with Library of Congress Classification.

The LCCN numbering system has been in use since 1898, at which time the acronym LCCN originally stood for Library of Congress Card Number. It has been variously called the Library of Congress Catalog Card Number. The Library of Congress prepared cards of bibliographic information for their library catalog and would sell duplicate sets of the cards to other libraries for use in their catalogs. This is known as centralized cataloging. Each set of cards was given a serial number to help identify it.

Although most of the bibliographic information is now electronically created, stored and shared with other libraries, there is still a need to identify each unique record, and the LCCN continues to perform that function.

Notes

Librarians all over the world use this unique identifier in the process of cataloging most books which have been published in the United States. It helps them reach the correct cataloging data (known as a cataloging record), which the Library of Congress and third parties make available on the Web and through other media.

### **13.1 Budgetary and Non Budgetary Devices**

(a) **Budget:**

- A formal statement of the financial resources set aside for carrying out specific activities in a given period of time.
- It helps to co-ordinate the activities of the organisation.

An example would be an advertising budget or sales force budget.

(b) **Budgetary control:**

- A control technique whereby actual results are compared with budgets.
- Any differences (variances) are made the responsibility of key individuals who can either exercise control action or revise the original budgets.

**Budgetary control and responsibility centres;**

These enable managers to monitor organisational functions.



*Notes* A **responsibility centre** can be defined as any functional unit headed by a manager who is responsible for the activities of that unit.

**There are four types of responsibility centres:**

- (a) **Revenue centres:** Organisational units in which outputs are measured in monetary terms but are not directly compared to input costs.
- (b) **Expense centres:** Units where inputs are measured in monetary terms but outputs are not.
- (c) **Profit centres:** Where performance is measured by the difference between revenues (outputs) and expenditure (inputs). Inter-departmental sales are often made using “transfer prices”.
- (d) **Investment centres:** Where outputs are compared with the assets employed in producing them, *i.e.*, ROI.

#### **13.1.1 Advantages of Budgeting and Budgetary Control**

There are a number of advantages to budgeting and budgetary control:

- Compels management to think about the future, which is probably the most important feature of a budgetary planning and control system. Forces management to look ahead, to set out detailed plans for achieving the targets for each department, operation and (ideally) each manager, to anticipate and give the organisation purpose and direction.
- Promotes coordination and communication.
- Clearly defines areas of responsibility. Requires managers of budget centres to be made responsible for the achievement of budget targets for the operations under their personal control.

- Provides a basis for performance appraisal (variance analysis). A budget is basically a yardstick against which actual performance is measured and assessed. Control is provided by comparisons of actual results against budget plan. Departures from budget can then be investigated and the reasons for the differences can be divided into controllable and non-controllable factors.
- Enables remedial action to be taken as variances emerge.
- Motivates employees by participating in the setting of budgets.
- Improves the allocation of scarce resources.
- Economises management time by using the management by exception principle.

### 13.1.2 Problems in Budgeting

Whilst budgets may be an essential part of any marketing activity they do have a number of disadvantages, particularly in perception terms.

1. **Budgets can be seen as pressure devices imposed by management, thus resulting in:**
  - bad labour relations
  - inaccurate record-keeping.
2. **Departmental conflict arises due to:**
  - disputes over resource allocation
  - departments blaming each other if targets are not attained.
3. It is difficult to reconcile personal/individual and corporate goals.
4. Waste may arise as managers adopt the view, “we had better spend it or we will lose it”. This is often coupled with “empire building” in order to enhance the prestige of a department.

Responsibility versus controlling, i.e. some costs are under the influence of more than one person, e.g., power costs. Managers may overestimate costs so that they will not be blamed in the future should they overspend.

### 13.1.3 Characteristics of a Budget

A good budget is characterised by the following:

- Participation: involve as many people as possible in drawing up a budget.
- Comprehensiveness: embrace the whole organisation.
- Standards: base it on established standards of performance.
- Flexibility: allow for changing circumstances.
- Feedback: constantly monitor performance.
- Analysis of costs and revenues: this can be done on the basis of product lines, departments or cost centres.

Notes

**13.1.4 Budget Organisation and Administration**

In organising and administering a budget system the following characteristics may apply:

- (a) **Budget centres:** Units responsible for the preparation of budgets. A budget centre may encompass several cost centres.
- (b) **Budget committee:** This may consist of senior members of the organisation, e.g. departmental heads and executives (with the managing director as chairman). Every part of the organisation should be represented on the committee, so there should be a representative from sales, production, marketing and so on. Functions of the budget committee include:
  - Coordination of the preparation of budgets, including the issue of a manual
  - Issuing of timetables for preparation of budgets
  - Provision of information to assist budget preparations
  - Comparison of actual results with budget and investigation of variances.
- (c) **Budget Officer:** Controls the budget administration The job involves:
  - liaising between the budget committee and managers responsible for budget preparation
  - dealing with budgetary control problems
  - ensuring that deadlines are met
  - educating people about budgetary control.
- (d) **Budget manual:**
  - charts the organisation
  - details the budget procedures
  - contains account codes for items of expenditure and revenue
  - timetables the process
  - clearly defines the responsibility of persons involved in the budgeting system.

**13.1.5 Budget Preparation**

Firstly, determine the principal budget factor. This is also known as the key budget factor or limiting budget factor and is the factor which will limit the activities of an undertaking. This limits output, e.g. sales, material or labour.

- (a) **Sales budget:** this involves a realistic sales forecast. This is prepared in units of each product and also in sales value. Methods of sales forecasting include:
  - sales force opinions
  - market research
  - statistical methods (correlation analysis and examination of trends)
  - mathematical models.

In using these techniques consider:

- company's pricing policy
- general economic and political conditions

- changes in the population
  - competition
  - consumers' income and tastes
  - advertising and other sales promotion techniques
  - after sales service
  - credit terms offered.
- (b) **Production budget:** expressed in quantitative terms only and is geared to the sales budget. The production manager's duties include:
- analysis of plant utilization
  - work-in-progress budgets.
- If requirements exceed capacity he may:
- subcontract
  - plan for overtime
  - introduce shift work
  - hire or buy additional machinery
  - The materials purchases budget's both quantitative and financial.
- (c) **Raw materials and purchasing budget:**
- The materials usage budget is in quantities.
  - The materials purchases budget is both quantitative and financial.
- Factors influencing (a) and (b) include:
- production requirements
  - planning stock levels
  - storage space
  - trends of material prices.
- (d) **Labour budget:** is both quantitative and financial. This is influenced by:
- production requirements
  - man-hours available
  - grades of labour required
  - wage rates (union agreements)
  - the need for incentives.
- (e) **Cash budget:** a cash plan for a defined period of time. It summarises monthly receipts and payments. Hence, it highlights monthly surpluses and deficits of actual cash. Its main uses are:
- to maintain control over a firm's cash requirements, e.g. stock and debtors
  - to enable a firm to take precautionary measures and arrange in advance for investment and loan facilities whenever cash surpluses or deficits arises

**Notes**

- to show the feasibility of management's plans in cash terms
- to illustrate the financial impact of changes in management policy, e.g., change of credit terms offered to customers.

Receipts of cash may come from one of the following:

- cash sales
- payments by debtors
- the sale of fixed assets
- the issue of new shares
- the receipt of interest and dividends from investments.

Payments of cash may be for one or more of the following:

- purchase of stocks
- payments of wages or other expenses
- purchase of capital items
- payment of interest, dividends or taxation.

### **Self Assessment**

Fill in the blanks:

1. The LCCN numbering system has been in use since ..... .
2. LCCN stands for ..... .
3. A control technique whereby actual result are compared with ..... .
4. .... involves a realistic sales forecast.

### **13.2 Management Information System**

A library management information system can also be called a library management system (LMS) or integrated library system (ILS). It is a system that makes use of information technology (IT) to carry out managerial objectives. The main goal of a library management information system is to store, organize, share and retrieve vital information needed to carry out daily operational functions of the library.

#### **Function**

A library management system (LMS) involves three basic elements: hardware, software and the users. LMS is a network of computers that uses a certain program to facilitate technical functions of the library. One such function is electronic cataloguing. With LMS, library users can trace desired books electronically without going through shelves. LMS also facilitates the lending process by keeping records of items lent and borrowers' information. LMS supports other administrative tasks such as inventory and data processing.

**Characteristics****Notes**

There are several LMS packages and suppliers in the market. An excellent LMS system should be simple, easy to use and not require in-depth IT knowledge to manipulate. The system should be easy to install and maintain. The new trend involves having a Web-based system where the software does not need to be installed on each computer but is accessed from a single host or source. This centralizes operation and passes the responsibility of maintenance to the suppliers.

**Benefits**

LMS makes everyday library tasks more efficient. This means more work can be done in less time. Consequently, this decreases operational costs. This also minimizes paperwork and manual tasks, thus allowing library personnel to concentrate on other things such as interaction with users. LMS also reinforces users' loyalty and satisfaction as it provides fast and reliable library services.

**Disadvantages**

Libraries may need to change their LMS every now and then to avoid lagging behind the technology. Although a library management system's end goals include cutting costs, setting up a new system initially requires a substantial amount of money and resources. Libraries not only pay for the software but may also spend for new computers, installations, hosting and maintenance. In addition, libraries must hire or train an IT support team to deal with computer network glitches.

**Challenge**

Today, libraries face the challenge of remaining relevant to the users. The concept of a library staying in one fixed space is slowly evolving. Because of technology, users can get information from alternative sources. Libraries need to be more competitive in terms of extending services. LMS can play an important role in overcoming this challenge. LMS may provide integrated information that can be a basis for evaluating what users want. It can also be a tool for implementing new ideas that will enhance the users' library experience.

A **management information system (MIS)** is a system that provides information needed to manage organizations efficiently and effectively. Management information systems involve three primary resources: technology, information, and people. It's important to recognize that while all three resources are key components when studying management information systems, the most important resource is people. Management information systems are regarded as a subset of the overall internal controls procedures in a business, which cover the application of people, documents, technologies, and procedures used by management accountants to solve business problems such as costing a product, service or a business-wide strategy. Management information systems are distinct from regular information systems in that they are used to analyze other information systems applied in operational activities in the organization. Academically, the term is commonly used to refer to the group of information management methods tied to the automation or support of human decision, making, *e.g.* decision support systems, expert systems, and executive information systems.



Notes

Overview

Initially in businesses and other organizations, internal reporting was made manually and only periodically, as a by-product of the accounting system and with some additional statistic(s), and gave limited and delayed information on management performance. Previously, data had to be separated individually by the people as per the requirement and necessity of the organization. Later, data was distinguished from information, and so instead of the collection of mass of data, important and to the point data that is needed by the organization was stored.

Earlier, business computers were mostly used for relatively simple operations such as tracking sales or payroll data, often without much detail. Over time, these applications became more complex and began to store increasing amount of information while also interlinking with previously separate information systems. As more and more data was stored and linked man began to analyze this information into further detail, creating entire management reports from the raw, stored data. The term “MIS” arose to describe these kinds of applications, which were developed to provide managers with information about sales, inventories, and other data that would help in managing the enterprise.



*Notes* Today, the term is used broadly in a number of contexts and includes (but is not limited to): decision support systems, resource and people management applications, enterprise resource planning (ERP), enterprise performance management (EPM), supply chain management (SCM), customer relationship management (CRM), project management and database retrieval applications.

“The five eras are general-purpose mainframe and minicomputer computing, personal computers, client/server networks, enterprise computing, and cloud computing. The first era was ruled by IBM and their mainframe computers, these computers would often take up whole rooms and require teams to run them, IBM supplied the hardware and the software. As technology advanced these computers were able to handle greater capacities and therefore reduce their cost. By 1965 microprocessors began to take the market away from mainframe computers. This technology allowed small desktop computers to do the same work that it previously would have taken a room full of computers. This also decentralized computing power from large data centers to smaller offices. In the late 1970s minicomputer technology gave way to personal computers. Now for a relatively low cost anyone could have a computer in his own home. This allowed for businesses to give their employees access to computing power that 10 years before would have cost tens of thousands of dollars. This proliferation of computers also helped create a need to connect these computers together on a network giving birth to the Internet. As technology has increased and cheapened the need to share information across a large company had also grown, this gave way to the client/server era. With this era computers on a common network were able to access shared information on a server. This allows for large amounts of data to be accessed by thousands and even millions of people simultaneously. The latest evolution of Information Systems is cloud computing a recent development, cloud computing lets users access data stored on a server, where they can not only see the data but also edit, save, download or upload. This along with high speed networks has led to a much more mobile view of MIS. In cloud computing the manager does not have to be at a desk to see what their employees are working on but instead can be on a laptop, tablet pc, or even smart phone.

An ‘MIS’ is a planned system of the collection, processing, storage and dissemination of data in the form of information needed to carry out the management functions. In a way, it is a documented report of the activities that were planned and executed.



*Did u know?* According to Philip Kotler “A marketing information system consists of people, equipment, and procedures to gather, sort, analyze, evaluate, and distribute needed, timely, and accurate information to marketing decision-makers.”

The terms MIS and information system are often confused. Information systems include systems that are not intended for decision-making. The area of study called MIS is sometimes referred to, in a restrictive sense, as information technology management. That area of study should not be confused with computer science. IT service management is a practitioner-focused discipline. MIS has also some differences with ERP which incorporates elements that are not necessarily focused on decision support.

The successful MIS must support a business's Five Year Plan or its equivalent. It must provide for reports based upon performance analysis in areas critical to that plan, with feedback loops that allow for titivation of every aspect of the business, including recruitment and training regimens. In effect, MIS must not only indicate how things are going, but why they are not going as well as planned where that is the case. These reports would include performance relative to cost centers and projects that drive profit or loss, and do so in such a way that identifies individual accountability, and in virtual real-time.

Anytime a business is looking at implementing a new business system it is very important to use a system development method such as system development life cycle. The lifecycle includes analysis, requirements, design, development, testing and implementation.



*Task* Explain some extra functions, characteristics, advantages and disadvantages of the Management Information System (MIS).

### Types of Information Management Systems

There are many types of information management systems in the market that provide a widerange of benefits for companies.

- Transaction processing systems (TPS) collect and record the routine transactions of an organization. Examples of such systems are sales order entry, hotel reservations, payroll, employee record keeping, and shipping.
- Management information systems (MIS) produce fixed, regularly scheduled reports based on data extracted and summarized from the firm's underlying transaction processing systems (TPS) to middle and operational level managers to provide answers to structured and semi-structured decision problems.
- Decision-support systems (DSS) are computer program applications used by middle management to compile information from a wide range of sources to solve problems and make decisions.
- Executive support systems (ESS) is a reporting tool that provides quick access to summarized reports coming from all company levels and departments such as accounting, human resources and operations.

Notes

**Advantages of Information Management Systems**

The following are some of the benefits that can be attained for different types of information management systems.

- The company is able to highlight their strength and weaknesses due to the presence of revenue reports, employee performance records etc. The identification of these aspects can help the company to improve their business processes and operations.
- Giving an overall picture of the company and acting as a communication and planning tool.
- The availability of the customer data and feedback can help the company to align their business processes according to the needs of the customers. The effective management of customer data can help the company to perform direct marketing and promotion activities.
- Information is considered to be an important asset for any company in the modern competitive world. The consumer buying trends and behaviors can be predicted by the analysis of sales and revenue reports from each operating region of the company.

**Enterprise Applications**

- Enterprise systems, also known as enterprise resource planning (ERP) systems provide an organization with integrated software modules and a unified database which enable efficient planning, managing, and controlling of all core business processes across multiple locations. Modules of ERP systems may include finance, accounting, marketing, human resources, production, inventory management and distribution.
- Supply chain management (SCM) systems enable more efficient management of the supply chain by integrating the links in a supply chain. This may include suppliers, manufacturer, wholesalers, retailers and final customers.
- Customer relationship management (CRM) systems help businesses manage relationships with potential and current customers and business partners across marketing, sales, and service.
- Knowledge Management System (KMS) helps organizations facilitate the collection, recording, organization, retrieval, and dissemination of knowledge. This may include documents, accounting records, and unrecorded procedures, practices and skills.

**Developing Information Systems**

“The actions that are taken to create an information system that solves an organizational problem are called system development (Laudon & Laudon, 2010)”. These include system analysis, system design, programming, testing, conversion, production and finally maintenance. These actions usually take place in that specified order but some may need to repeat or be accomplished concurrently.

System analysis is accomplished on the problem the company is facing and is trying to solve with the information system. Whoever accomplishes this step will identify the problem areas and outlines a solution through achievable objectives. This analysis will include a feasibility study, which determines the solutions feasibility based on money, time and technology. Essentially the feasibility study determines whether this solution is a good investment. This process also lays out what the information requirement will be for the new system.

System design shows how the system will fulfill the requirements and objectives laid out in the system analysis phase. The designer will address all the managerial, organizational and technological components the system will address and need. It is important to note that user information requirements drive the building effort. The user of the system must be involved in the design process to ensure the system meets the users need and operations.

Programming entails taking the design stage and translating that into software code. This is usually out sourced to another company to write the required software or company's buy existing software that meets the systems needs. The key is to make sure the software is user friendly and compatible with current systems.

Testing can take on many different forms but is essential to the successful implementation of the new system. You can conduct unit testing, which tests each program in the system separately or system testing which tests the system as a whole. Either way there should also be acceptance testing, which provides a certification that the system is ready to use. Also, regardless of the test a comprehensive test plan should be developed that identifies what is to be tested and what the expected outcome should be.

Conversion is the process of changing or converting the old system into the new. This can be done in four ways:

Parallel strategy—Both old and new systems are run together until the new one functions correctly (this is the safest approach since you do not lose the old system until the new one is “bug” free).

Direct cutover—The new system replaces the old at an appointed time.

Pilot study—Introducing the new system to a small portion of the operation to see how it fares. If good then the new system expands to the rest of the company.

Phased approach—New system is introduced in stages.

Anyway you implement the conversion you must document the good and bad during the process to identify benchmarks and fix problems. Conversion also includes the training of all personnel that are required to use the system to perform their job.

## Self Assessment

State whether true or false:

5. Library management information system can also be called a library management system.
6. Library management system involved three basic elements : hardware, software and the users.
7. ERP stands for Enterprise Resource Processing.
8. SCM stands for Supply Chain Management.
9. DSS stands for Decimal Support System.

## 13.3 Summary

- The Library of Congress Control Number or LCCN is a serially based system of numbering cataloging records in the Library of Congress in the United States.
- A library management information system can also be called a library management system (LMS) or integrated library system (ILS). It is a system that makes use of information technology (IT) to carry out managerial objectives.

Notes

- A **management information system (MIS)** is a system that provides information needed to manage organizations efficiently and effectively. Management information systems involve three primary resources: technology, information, and people.
- An 'MIS' is a planned system of the collection, processing, storage and dissemination of data in the form of information needed to carry out the management functions.
- The actions that are taken to create an information system that solves an organizational problem are called system development.
- Conversion is the process of changing or converting the old system into the new.

### 13.4 Keywords

<i>LMS</i>	: Library Management System.
<i>ILS</i>	: Integrated Library System.
<i>LCCN</i>	: Library of Congress Control Number.
<i>CRM</i>	: Customer Relationship Management.
<i>SCM</i>	: Supply Chain Management.
<i>ERP</i>	: Enterprise Resource Planning.
<i>MIS</i>	: Management Information Systems.
<i>TPS</i>	: Transaction Processing Systems.

### 13.5 Review Questions

1. What is LCCN?
2. Write any three characteristics of a budget.
3. What is budget preparation?
4. What is main goal of library information system?
5. Write short note on management information system.
6. Discuss in detail budgetary and non budgetary devices.

### **Answers: Self Assessment**

- |            |                                       |
|------------|---------------------------------------|
| 1. 1898    | 2. Library of Congress Control Number |
| 3. Budgets | 4. Sales budget                       |
| 5. True    | 6. True                               |
| 7. False   | 8. True                               |
| 9. False   |                                       |

## 13.6 Further Readings

Notes



*Books*

*Planning Budget in Libraries, New Delhi: Faruqi, Khalid, K.ed., Anmol Pub, 1997.*

*Planning Library Buildings, New Delhi: Faruqi, Khalid, K. Anmol Pub, 1998.*

*Library Management of Staff Training and Development, Delhi: Iyer, V.K. Rajat, 1999.*



*Online links*

[http://www.osbornebooks.co.uk/files/af\\_as\\_chapter\\_19\\_1.pdf](http://www.osbornebooks.co.uk/files/af_as_chapter_19_1.pdf)

<http://www.softaiminnovations.com/web/>

[http://tutor2u.net/business/ict/intro\\_information\\_system\\_types.htm](http://tutor2u.net/business/ict/intro_information_system_types.htm)

## Unit 14: Change and Quality Management

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### Objectives

After studying this unit, you will be able to:

- Explain budgetary and non budgetary devices
- Discuss the problem in budgetary
- Describe the characteristics, organization and administration of a budget
- Define the management information system.

### Introduction

Change management is not a singular concept; rather it includes a set of best practices and experiences, which are used to handle both the internal as well as external changes. Change management includes effective management of new methods and systems in an ongoing organization. It is both an area of professional practice as well as a body of knowledge. Change from an existing setup to a new environment has its own set of inherent problems and the problems become multifold when applied in a service institution as library. Libraries have been pioneers in adopting any new technology, the same holds true for information and technology also. The role of libraries has gradually changed from the traditional storehouse of information to access providers. There has been a paradigm shift in the ways libraries used to be managed. The problems associated with the transition in the case of libraries have both content and a process dimension. This paper aims at providing a broad overview of the concept of change management and its relevance for managing the transit of traditional paper-library to digital-library.

## 14.1 Change Management: The Concept

Notes

The basic definition of change management has following three important aspects (2,3):

- The task of ongoing change.
- An area of professional practice.
- A body of knowledge.

'Managing change' refers to the making of changes in a planned and managed or systematic fashion where the aim is to implement new methods and systems in an ongoing organization in a more effective manner. Now, if one thinks of internal changes induced by outside developments, then the most familiar instance of this kind of change is the change or version control aspect of information system development projects. Here, the events originating outside the organization trigger these internal changes. Literally the two types of changes can be distinguished as a knee-jerk or reactive response and an anticipative or proactive response.

Professional expertise is required to manage the changes; whether reactive or anticipative. The process of change needs to be treated separately from the specifics of the situation. The content or subject matter of change management consists chiefly of the models, methods and techniques, tools, skills and other forms of knowledge that go into making up any practice.



*Notes* The subject matter of change management is drawn from psychology, sociology, business administration, economics, industrial engineering, systems engineering and the study of human and organizational behavior.

### 14.1.1 Types of Changes

Change can be better managed if we are able to categorize them. Changes can be broadly categorized as:

- Provoked by pressure or necessity
- Induced by gentle persuasion rather than force
- Enforced change
- Motivation by example and evidences
- Designed according to individual needs and requirements.

### 14.1.2 Problems and Prospects

As discussed earlier, the problems faced during bringing about changes in any organization have both content and a process dimension. Introducing a digital library setup has different dimensions depending on the host organization. For instance, the user group and its requirements of the digital library at a health university will be different from the users of a defense laboratory library. In this situation, it is very difficult to suggest a universal change management strategy, it needs to be defined and designed depending on the need of the organization. The differences become more prominent in the case of organizations with international user group with varied subject interests because the values differ, the cultures differ and at the very basic level even the problems differ. But, as the overall processes of change and change management



**Notes** remain pretty much the same, so change management has evolved to become a discipline from a set of good professional practices.

#### 14.1.3 Processes

The process of change management can be studied as an amalgamation of following subprocesses:

- The Change Process as “Unfreezing, Changing and Refreezing”
- The Change Process as Problem Solving and Problem Finding
- The Change Problem
- Change as a “How” Problem
- Change as a “What” Problem
- Change as a “Why” Problem.

It becomes easier when problems are formulated in terms of “what, Why and How” questions. The formulation depends on where in the organization the person posing the question or formulating the problem is situated, and where the organization is situated in its own life cycle.

#### 14.1.4 Libraries and Information Centers

Change from an existing setup to a new environment has its own set of inherent problems and the problems become multifold when apply in a service institution as library. Libraries have been pioneers in adopting any new technology, the same holds true for information and technology also. The role of libraries has gradually changed from the traditional storehouse of information to access providers. There has been a paradigm shift in the ways libraries used to be managed. The problems associated with the transition in the case of libraries have both content and a process dimension. The reason is that not only the library operation has got automated but also at the same time there have been drastic changes in the way information content used to be presented and organized. The tools and techniques that were suitable for traditional documents don't hold good for born digital documents, so, a whole new approach needs to be developed to handle the situation.



*Did u know?* The process of change management in a library setup raises basic issues such as ‘what and how’ questions to cluster in core and buffer units. And the ‘why’ question is typically the responsibility of top management. The skills and strategies involved in managing change in libraries and information centers are multifaceted.

#### 14.1.5 Skills

1. *Political skills:* These skills are required to motivate people and convince the management at the same time for the maximum benefit of the organization and users
2. *Analytical skills:* The ability to analyze the situation judiciously and to act wisely is the primary requirements of a good manager. Further, if the property to be managed is change, then the analytical skills are of greatest significance.

3. *People skills*: People skills are nothing but the ability to manage people in the groups, one that are part of the change and those that are bringing about the change.
4. *System skills*: These include a set of skill required for designing of a new system or bringing out balanced renovations in existing systems. One should be able to have a balanced outlook towards all the components of the system ranging from input to the final output.
5. *Business skills*: Business skills have acquired greater significance because of the increasing emphasis on the evolution of self-sustaining profit generating information centers.

#### 14.1.6 Strategies

Change strategy can't be defined in a singular fashion rather it has to be adopted as a mixture of strategy sets keeping an eye on the ultimate grand vision (5). Following factors determine the choice of the strategies:

- *Degree of resistance*: Strong resistance argues for a coupling of power-coercive and environmental-adaptive strategies. Weak resistance or concurrence argues for a combination of Empirical-Rational and normative-reductive strategies.
- *Target population*: Large populations argue for a mixture of strategy sets to be adopted
- *The stakes*: High stakes again demand a mixture of strategies.
- *The time frame*: Short time frames require a power-coercive strategy.
- *Expertise*: Availability of desired expertise gives the management ample of confidence to a mixture of strategies
- *Dependency*: If the organization is dependent on its people, management's ability to command or demand is limited. Conversely, if people are dependent upon the organization, their ability to oppose or resist is limited.

## 14.2 Library Automation and Networking

We live in an increasingly globalized and interconnected world. Barriers in trade, commerce, banking, industry, science, technology, education, etc., are breaking down and will continue to become more and more borderless with time. Globalization also means increased dependency on one other in various domains. Globalization also has increased competition; consumers of all kinds now, more than ever before, have a number of choices. Globalization is in a sense synonymous with networking. Computers, telecommunications infrastructure and the Internet are not only essential but indispensable in the world we live in today. The library and information world has traditionally been borderless long before others. However, the Internet and the worldwide web have pushed libraries to be even more interdependent than before, because of the bewildering array of sources and providers of information from which they draw their information. Equally, libraries are now facing competition from other players. The place of libraries as centres for the acquisition, description, organization, preservation and access to information has been challenged and subject portals, digital libraries and open access repositories. These services use new methods to acquire, analyze, display and organize information and are undoubtedly a threat to the traditional role of libraries and librarians.

How libraries can get an edge over competing services and continue to be relevant, different, wanted and useful has engaged the attention of many library professionals. Even before the advent of the Internet and the web, libraries sought to automate and network with each other

**Notes**

so that their clients could have easier and wider access to resources. The proliferation of resources such as other library catalogues, online databases, full text publications, electronic serials, learning resources, discussion forum postings, etc., on the web has posed a considerable challenge to librarians. How to cope with these new resources and newer forms of older resources is a question that requires to be addressed by all libraries.

Library automation and networking, which until the 1990's was considered to be adequate, today do not provide all the answers. Library automation and networking is all about connecting to other libraries and information centres, search engines, peer groups, databases and experts. Thus the scenario today is one of many dispersed digital collections. The need is to move to inter-operable digital libraries. This requires that we focus on standards of many kinds. Of these, metadata standards have assumed the highest importance. To put it in simple words, libraries and networks of all kinds use different hardware and software platforms. To enable interconnectivity to such a diversity of systems and to enable mutual sharing of resources and exchange of data between them requires that all of them follow internationally agreed upon standards.



*Task* Explain the term change management and types of changes.

**Networks operate at different levels in respect of:**

- The variety of resources they handle,
- The computer hardware they use,
- Operating system platforms,
- The language used to describe subject content,
- The support to protocols and standards they provide, and
- The back-end software in use.

The one element in all library automation and networking today that has assumed highest priority is the use of (wherever possible) international standards for the following.

- Metadata standards which includes standards for data elements as well as identification, description and representation standards
- Information exchange standards
- Communication standards
- Content representation standards
- Interoperability standards.

The above categorization is only used for convenience and it must be emphasized that there is considerable overlap in the purpose and function of these standards. It is important that these should be understood and used in library systems if there is to be effective automation and networking.

**This tutorial attempts to:**

- Describe briefly the various metadata and interoperability standards, and
- Emphasize the importance of these standards when planning library automation and more importantly networking of libraries.

**Self Assessment**

Notes

Fill in the blanks:

1. Libraries have been pioneers in adopting any new ..... .
2. Change can be better managed if we are able to ..... them.
3. We live in an increasingly globalized and ..... world.
4. Globalization is in a sense synonymous with ..... .

**14.3 Summary**

- Change management is not a singular concept; rather it includes a set of best practices and experiences, which are used to handle both the internal as well as external changes.
- Change from an existing setup to a new environment has its own set of inherent problems and the problems become multifold when apply in a service institution as library.
- We live in an increasingly globalized and interconnected world. Barriers in trade, commerce, banking, industry, science, technology, education, etc., are breaking down and will continue to become more and more borderless with time.
- Library automation and networking, which until the 1990's was considered to be adequate, today do not provide all the answers.

**14.4 Keywords**

- Ongoing** : Continuing, still in progress.
- Expertise** : Great skill or knowledge in a particular field.
- Prominent** : Important or famous.
- Synonymous** : Having the same meaning as another word or phrase in the same language.
- Disperse** : Go or distribute in different directions or over a wide area.

**14.5 Review Questions**

1. Explain the change and quality management.
2. Describe the types of changes.
3. Discuss the process of change management.
4. Explain the libraries and information centers.
5. Define the library automation and networking.

**Answers: Self Assessment**

- |                   |               |
|-------------------|---------------|
| 1. technology     | 2. categorize |
| 3. interconnected | 4. networking |

Notes

## 14.6 Further Readings



*Books*

*Planning Budget in Libraries, New Delhi: Faruqi, Khalid, K.ed., Anmol Pub, 1997.*

*Stock verification in Libraries: Problems and Solutions, Delhi: Gupta,S.R., Ken Publications, 1990.*

*Library Management of Staff Training and Development, Delhi: Iyer, V.K. Rajat, 1999.*



*Online links* [http://www.worlib.org/vol08no1/vyas\\_v08n1.shtml](http://www.worlib.org/vol08no1/vyas_v08n1.shtml)

<http://www.businessballs.com/changemanagement.htm>



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