

Indira Gandhi National Open University (IGNOU)

Bachelor of Library and Information Science (BLIS)

STUDY MATERIALS

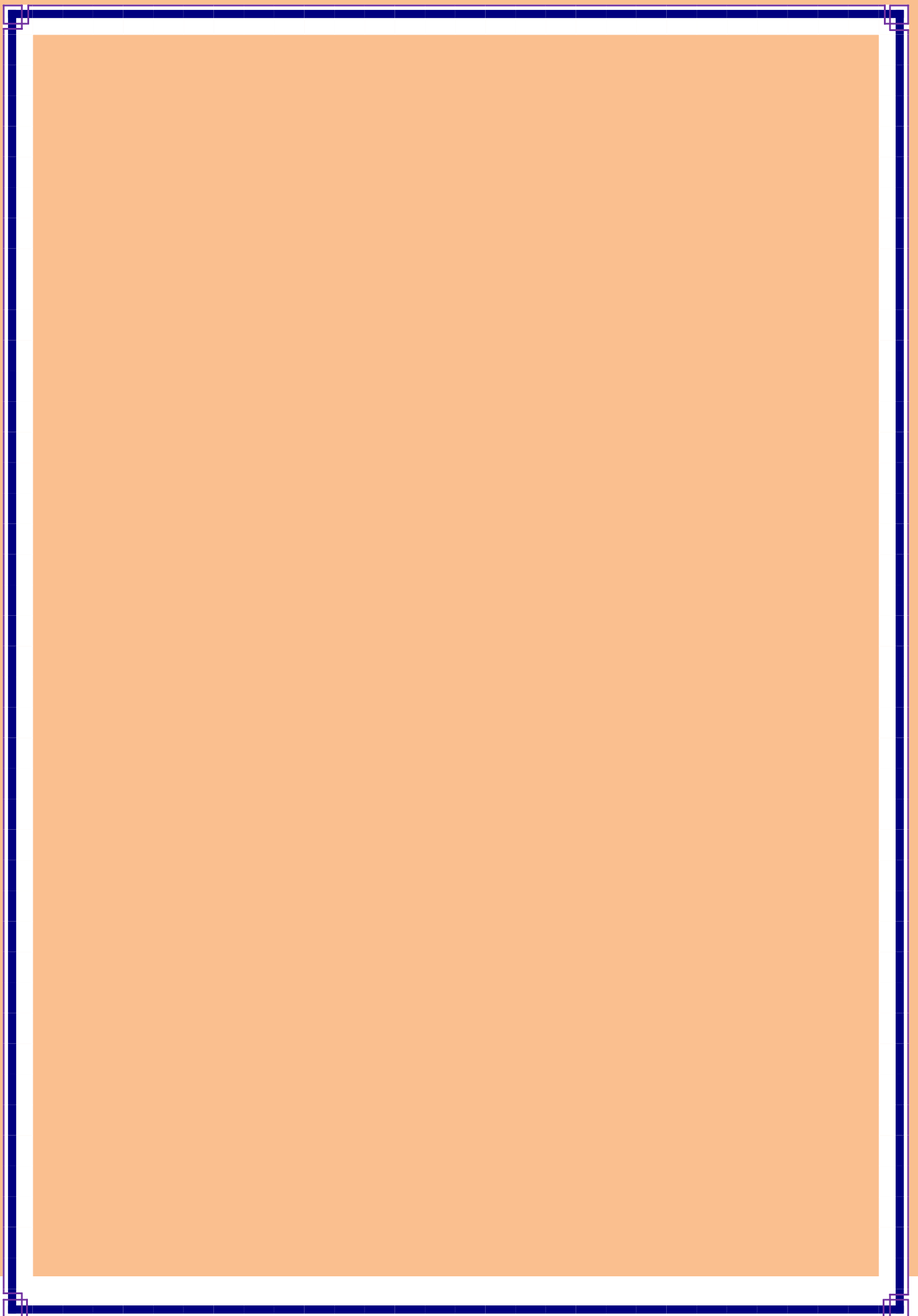
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*Management of Library and
Information Centre*



JATINDER SINGH
BLIS (JULY-2018)

www.jatinderjyoti.in
jatinderjyoti84@gmail.com
fb/insta: jatinderjyoti.raina



Block

1

PRINCIPLES AND PRACTICES OF MANAGEMENT

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Programme Design Committee

Prof. Uma Kanjilal (Chairperson)
Faculty of LIS, SOSS, IGNOU

Prof. B.K.Sen, Retired Scientist
NISCAIR, New Delhi

Prof. K.S. Raghavan, DRTC
Indian Statistical Institute, Bangalore

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Dept. of LIS, University of Delhi, Delhi

Prof. M.M. Kashyap, Retired Professor
Dept. of LIS, University of Delhi, Delhi

Prof. R.Satyanarayana
Retired Professor, Faculty of LIS, SOSS
IGNOU

Dr. R. Sevukan
(Former Faculty Member) Faculty of LIS
SOSS, IGNOU

Prof. S.B. Ghosh, Retired Professor
Faculty of LIS, SOSS, IGNOU

Prof. T. Viswanathan
Retired Director, NISCAIR, New Delhi

Dr. Zuchamo Yanthan
Faculty of LIS, SOSS, IGNOU

Conveners:

Dr. Jaideep Sharma
Faculty of LIS, SOSS, IGNOU

Prof. Neena Talwar Kanungo
Faculty of LIS, SOSS, IGNOU

Programme Coordinators

Prof. Jaideep Sharma and Prof. Neena Talwar Kanungo

Course Coordinator

Dr. Archana Shukla

Course Preparation Team

Unit No(s)	Unit Writer(s)	Course Editor
1	Adapted from BLIS-02 Block 1 Unit 1	Dr. M.S. Sridhar
2-4	Dr. Archana Shukla	

Internal Faculty
Dr. Archana Shukla

Print Production

Mr. Manjit Singh
Section Officer (Pub.)
SOSS, IGNOU, New Delhi

Secretarial Assistance

Ms. Sunita Soni
SOSS
IGNOU, New Delhi

Cover Design

Ms. Ruchi Sethi
Web Designer
E Gyankosh, IGNOU

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UNIT 1 PRINCIPLES AND FUNCTIONS OF MANAGEMENT

Structure

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1.0 OBJECTIVES

After reading this Unit, you will be able to:

- explain the meaning and purpose of management;
- elucidate scientific management, different levels of management and the managerial skills required;
- describe managerial functions or elements of management and their importance and limitations;
- explain general principles of management; and
- understand the application of modern management techniques and methods in managing a library.

1.1 INTRODUCTION

This Unit introduces you to the basics of management discipline and its general principles and functional elements. We shall study the meaning, purpose and scope of scientific management in relation to the aims and objectives of any organisation, specifically for library management.

1.2 MANAGEMENT – MEANING AND SCOPE

It is very difficult to accurately define management. There is no universally accepted definition of management. Management involves both acquisition and application of knowledge. It does not go by rule of thumb or intuition alone even though it is considered to be an extension of common sense. Hence, management is a combination of both an art and a science. The scientific approach lies in decision-making, planning and in the appropriate use of technology. The artistic approach to management can be found in the tasks of communicating, leadership and goal-setting. A few commonly used definitions of management are given below:

- Managing is an art or process of getting things done through the efforts of other people.
- Managing is the art of creation and maintenance of an internal environment in an enterprise where individuals, working together in groups, can perform efficiently and effectively towards the attainment of group goals.
- Management is the process of setting and achieving goals through the execution of five basic management functions (i.e. Planning, Organising, Staffing, Directing and Controlling) that utilise human, financial and material resources.
- Management is a process or an activity that brings together several varied resources like persons, materials, techniques and technologies to accomplish a task or tasks.
- Management, as a distinct field of study, is also the body of organised knowledge which underlies the art of management.

The above definitions and a study of management literature would reveal the following characteristics of management:

- Managing is an activity or process (not a person or group of persons);
- Management refers to both the discipline as well as group which manages the organisation;
- It makes things happen (and not let things happen);
- It is purposeful, i.e., the achievement of the organisation's goals and objectives is the supreme purpose;
- It uses available resources economically to maximise outputs;
- The organisation's objectives are accomplished by, with and through the efforts of others (group activity);
- Managing implies using certain skills, knowledge and practices to bring effectiveness;
- It is aided and not replaced by the computer; and
- It is intangible.

1.3 SCIENTIFIC MANAGEMENT

Scientific management is almost synonymous with the teachings and practices of Frederick W. Taylor (1850-1915). Throughout his life Taylor struggled to increase efficiency in production, not only to lower costs and raise profits but also to make possible increased pay for workers through higher productivity. Scientific management is the name given to the principles and practices that grew out of the work of Taylor and his followers (Carl George Berth, Henry L Gantt, Frank and Lillian Gilbreth, etc.) and that are characterised by concern for efficiency and systematisation in management. You may note that the management science is the application of mathematical modeling in managerial decision-making and is quite different from scientific management.

The schools of management thought are broadly divided into three parts, they are:

- 1) Classical Management Theory (1880's-1920's) which is organisation-centred and has dealt with the economic "rational man", and included scientific management, administrative management, (Henry Fayol, C.I. Barnard, L Urwick) and bureaucratic organisation (Max Weber).
- 2) Neoclassical Theory (1920's-1950's) which is person-centered and human-oriented and has emphasised the needs, behaviours and attitudes of individuals (i.e., "social person" view) and included human relations schools (Elton Mayo, F.J. Roethlisberger, W.J Dickson) and behavioural schools (Maslow, McGregor, Argyris, Herzberg, Lickert, Lewin).
- 3) Modern Management Theory (1950's-) which emphasises the complete employee view by revisionist researcher (Litchfield) which includes systems theory, contingency theory, organisational humanism and management science.

Modern management is characterised by a scientific approach, which involves:

- the application of scientific methods and analysis to managerial functions and problems;
- serious consideration of human elements in management, based on psychological studies and behaviour analysis in different situations;
- increasing emphasis on economic effectiveness in all management functions;
- a systems approach, focusing equal attention on all functions of management; and
- use of electronic computers for analysis and studies.

Beginning from the fifties of 20th Century, contributions have been made to management through disciplines such as mathematics, statistics and economics. Mathematical models have been designed and constructed for use in planning, decision making and forecasting. Operations research studies for operational efficiency, and econometric analysis for cost benefits and effectiveness, are some of the other scientific methods applied to management functions. The advent of computers and communications technologies has aided researchers in the development of the management information system. These have become vital components in scientific management.

Theories of leadership and organisation including human motivation and behaviour, organisation relationships and nature of authority of the psychological and sociological methods applied to studying personnel management. The systems approach has enriched management operations by unifying to achieve a common goal. Thus we see that modern management has drawn from studies and experiences from other disciplines and has successfully applied them to enhance productivity.

Self Check Exercise

- Note:** i) Write your answer in the space given below.
- ii) Check your answer with the answers given at the end of this Unit.
- 1) Give your understanding of modern scientific management.

.....

1.4 LEVELS OF MANAGEMENT AND MANAGERIAL SKILLS

A manager is anyone, at any level of the organisation, who directs the efforts of other people. S/he is the catalyst who makes things happen. It may be noted that the management of an organisation is performed at different levels. Although the distinctions are by no means clear it is useful to think of managers as being divided into three groups (or levels): (i) Supervisory (or- First line or Operational) Managers are those who directly oversee the efforts of those who actually perform the work. Performance of various routine tasks to obtain desired outputs of every unit and concomitant activities is taken care of at this level; (ii) Middle managers are above the supervisory level but subordinate to the most senior executives of the organisation; they have the responsibility to develop implementation strategies for the concepts determined by top management. Execution, supervision, monitoring and other related functions are taken care of by them; (iii) Top managers are the most senior executives of the organisation. Top managers are responsible for providing the overall direction of the organisation. They carry out planning, maintenance of relations with other agencies, policy making, standardisation, control, evaluation, resources mobilisation, etc. As far as libraries are concerned, often two hierarchies of management operate within libraries. One is that of the library, and the other is that of the organisation to which the library belongs.

Each level of management requires a different composition of managerial skills. Skill is an ability to translate knowledge into action that results in a desired performance. Normally, three kinds of basic skills are identified to be required by managers – (i) Technical skill is the ability to use specific knowledge, methods, processes, practices, techniques or tools of a speciality in performing the work; (ii) Human skill is the ability to interact with other persons successfully, i.e.,

ability to understand, work with, motivate and get along with other people; and (iii) Conceptual skill deals with ideas and abstract relationships. It is the mental ability to comprehend abstract or general ideas and apply them to specific situation. It requires a holistic approach to understand the relationship of parts to the whole, the whole to the parts and cause and effect. In other words, viewing the organisation as a whole and to see how the parts of the organisation relate to and depend on one another and the ability to imagine the integration and coordination of the parts of the organisation are essential for this skill.

The importance of these skills depends on levels of management. Technical skill is most important for supervisory level managers and becomes less important as the manager move up to the middle and top levels. Conceptual skill is increasingly important as manager moves up the levels of management. However, human skills are important at every level in the organisation. It may be noted here that there are other kinds of skills required for managers and they are not discussed here. For example, top and middle managers need to have diagnostic and analytical skills. Diagnostic skill is the ability to acquire, analyse and interpret information to determine the cause of change either in inputs or outputs or in the transformation process. Analytical skill (which is complimentary to diagnostic skill) is the ability to determine the cause of change and either to provide corrective action or take advantage of the situation.

All functions or elements of management (to be discussed in next section) will be common to all levels of management in some form or the other. However, the duties and responsibilities of the staff operating at different levels will vary. The chart given below indicates how these three levels of management share their duties and responsibilities as well as the skills required for them.

Table showing levels of management, their responsibilities, duties & skills

Skills	Levels	Duties & responsibilities
Conceptual	Top	Planning, Policy making, Quality control and Evaluation, Resources Mobilisation
Human	Middle	Execution of Activities, Supervision, Monitoring
Technical	Supervisory	Routine tasks, concomitant activities

In the above table, while all the activities are shared by the three levels of management, the proportion of responsibilities, duties and skills with reference to the activities vary. It should be noted, however that the system will work efficiently only if the three levels work in unison. Top management does very little routine operations, while the operational management level staff does not do much planning. But the middle level management is involved in both planning and routine operational work.

1.5 MANAGERIAL FUNCTIONS

We have already seen that there are several definitions given by experts to explain the meaning and scope of management. One way is to view management as a set of common processes or functions which, when carried out well, lead to organisational efficiency and effectiveness. These processes or functions have been broken down into a set of related elements forming a useful framework.

A function is a type of work activity that can be identified and distinguished from other work. Experts have identified several managerial functions as important elements of management. While Newman and Summer have identified four functions namely, organising, planning, leading and controlling, Henry Fayol has recommended five basic functions namely, planning, organising, commanding, coordinating and controlling. Most authors present the following five as the essential functions: planning, organising, staffing, directing and controlling. Luther Gulick and L. Urwick have coined an acronym for seven functions namely POSDCORB which stands for Planning, Organising, Staffing, Directing, Coordinating, Reporting and Budgeting. Some of these functions are presented and discussed here separately. It is important to remember that they are carried out simultaneously and concurrently. The view of this approach is that an organisation is a total system and these functional elements are interrelated and interdependent. The major advantage of separating and discussing these functional elements individually is that this provides a helpful means to examine the various threads that are interwoven into the fabric of what managers actually do.

1.5.1 Planning

Planning is a bridge taking us from where we are to where we want to reach. It is the process of determining in advance what should be accomplished and how to do it. In other words, it is an analytical process of establishing goals, objectives and targets, assessing the future, premising, generating and evaluating alternatives, selecting programs, projects or courses, estimating resources, preparing the plan document with derivative plans and implementing the plan.

Four important characteristics of planning are (i) The purpose of every plan and all derivative plans is to facilitate the accomplishment of enterprise purposes and objectives; (ii) Planning is the “first” function and logically precedes the execution of all other managerial functions; (iii) Managers at all levels are involved in planning; (iv) The efficiency of a plan is measured by the amount it contributes to the purpose and objectives as offset by the costs of other unsought consequences required to formulate and operate. In other words, planning is characterised by its primacy, efficient contribution to purpose and objectives and all pervasiveness. Some types of plan usually developed and operated include objectives (or goals), strategies (or grand plans), policies, procedures, rules, programs and budgets.

The process of developing a plan consists of a few logical and basic steps. Being aware of opportunities and a sort of SWOT (Strength, Weaknesses, Opportunities and Threats) analysis is the first step followed by establishing specific and clear objectives. The third logical step in planning is premising, i.e., taking note of planning assumptions. Establishing complete premises and keeping them up-to-date is a difficult and complex task. The success of a plan depends on the degree of accuracy in premising. The fourth step is to search for and examine alternative courses of action. The step is immediately followed by a systematic evaluation of alternative courses with the purpose of selecting the best course of action in the next step. The seventh step is formulating smaller derivative plans. The final step is to numberise the plan along with derivative plans by converting them into budgetary figures.

Many scientific techniques and models are available to determine the goals and objectives, assess future trends, formulate policies, choose among different alternatives (decision making), preparation and production of plans, etc. There are rational approaches and principles to follow in the planning process. A few of them, in addition to those mentioned above, are listed below:

- Planning should start with where we are (premising) rather than with where we want to be;
- Individuals involved in the planning process should agree to use consistent planning premises;
- Flexibility must be built into the plans;
- The plans must be closely integrated;
- The plans should be documented and distributed to all members of the management team;
- Planning has value only if it is transformed into action; and
- Plans should be reviewed periodically throughout the year.

Inputs to a plan have to come from every unit of the organisation to ensure the involvement and participation of the staff working at the operation supervisory level, besides the top management which is more directly connected with the planning process and responsible for it.

A plan document provides a directive course of executive action incorporating every aspect of the development of the organisation. Policies are framed to help the implementation process. Every plan has to fit into a time frame annual, five year, long range or perspective - and also has to be flexible to accommodate any unanticipated change at any point of time.

The significance and advantages of planning are:

- it offsets uncertainty and change;
- provides a framework for execution and direction; focuses attention on objectives;
- improves services, leads to operations and facilitates control;
- ensures rational and effective development;
- permits the anticipation and future resources needs; and
- brings the skills and experience of staff members to the planning process.

1.5.2 Organising

Organising is the process of prescribing formal relationships among people and resources (i.e., personnel, raw materials, tools, capital, etc.) to accomplish the goals.

Organising involves:

- analysing the entire activities of an organisation into homogeneous types of works and jobs;
- sorting and grouping the resulting works and jobs into a logical structure;
- assigning these activities to specific positions and persons; and
- providing a means for coordinating the efforts of individuals and groups.

The term organisation refers to both the process of organisation and the result of that process. Organisation refers to the structure which results from (i) assembling the resources necessary to achieve the organisation objectives, (ii) identifying and grouping work, (iii) defining and delegating responsibility and authority, and (iv) establishing activity-authority relationships. In other words, organisation differentiates and integrates the activities necessary to achieve the objectives. Activities are grouped into working divisions, departments, or other identifiable units primarily by clustering similar and related duties. The result is a network of interdependent units.

Organisational structures usually comprise departments, divisions, sections, units or cells, obtained on the basis of division of works and jobs, These structural patterns reflect horizontal and vertical positions, indicating distribution of work, authority and responsibility, span of control, nature of duties, outflow of work, means for evaluation of work output, staff discipline mechanism, smooth flow, functional points and coordination points, etc.

Studies have been conducted to develop techniques for activity and workload analysis, work and job analysis, job definitions and descriptions, models of organisational structure and similar others. Organisation charts, block diagrams, work flow charts, etc., portray the functions of an organisation vividly, indicating its managerial strength. Some basic principles of organising are listed below:

- The key activities should be clearly defined;
- The activities should be grouped on some logical basis;
- The responsibilities of each division, department, unit and job should be clearly defined;
- Authority should be delegated as far down in the organisation as possible;
- Responsibility and authority should be made equal;
- The number of persons reporting to each manager should be reasonable;
- The organisation should be designed to provide stability, flexibility, perpetuation and self-renewal; and
- The organisation structure should be evaluated on the basis of its contribution to enterprise objectives.

Libraries are generally organised on the basis of their functions, viz., collection development, technical processing, users' services, etc. But, they can be organised on the basis of user groups served, subjects/areas handled, products and services generated, or a combination of these. However, organisational structure varies according to the types of libraries, viz., national, public, academic and special libraries.

1.5.3 Staffing

If organisational structure creates positions at different levels for performing various functions, staffing deals with providing the right type of persons to man them. Indeed persons are the key to the effective functioning of any organisation. In fact, the real strength of an organisation is its personnel; they can make or mar the organisation.

Staffing is the formal process of ensuring that the organisation has qualified workers available at all levels to meet its short and long term objectives. This function includes (i) Human resource planning (ii) Recruitment and selection (iii) Training and development (iv) Rewards and compensations (v) Health and safety (vi) Career planning and management (vii) Employee assistance, coaching and orientation (viii) Performance appraisal. Some important basic concepts of staffing are job analysis, job description, job specification, job enlargement and job enrichment (see key words at the end of the unit).

Personnel management has assumed very great importance in modern management studies. Attention is increasingly given to composition of staff, their types and levels, proper recruitment methods and procedures, work distribution and assignment, staff training and development, salary, status and career development opportunities, incentives and other related aspects.

With the increasing complexities of libraries and the services they are expected to offer, the staffing pattern is constantly changing. Different categories of specialists are being recruited to operate at various levels in libraries. Staff function and personnel management are discussed in more detail in Human Resource Management in Block 4.

1.5.4 Directing

Directing is the managerial function concerned with the interpersonal aspect of managing by which subordinates are led to understand and contribute effectively and efficiently to the attainment of enterprise objectives. It is aimed at getting the members of the organisation to move in the direction that will achieve its objectives. In other words, directing is the managerial function that enables managers to get things done through persons, both individually and collectively. Directing is related to staffing in the sense that these two functions are concerned with the employees of the organisation. While staffing is concerned with providing and maintaining human resources, directing deals with leading and motivating the human resources to give out the best. It is the most interpersonal aspect of management. Directing is closely related to the communicating function and motivating; actuating and leading are sub-functions of directing (see key words at the end of this Unit).

Directing is not the singular function of the top management. In fact, it pervades the organisation at all supervisory levels. This calls for good interpersonal communication, both oral and written. Written communications are often through memos, letters, reports, directives, policy guidelines, staff and work manuals and similar others. It is essential to get them drafted unambiguously to give proper direction to the employees. This is supported by oral communication, formally at staff meetings and informally on other occasions.

It is necessary to note some important principles of directing. The more effective the directing process, the greater will be the contribution of subordinates to organisational goals (the principle of directing objective) and the more individuals perceive that their personal goals are in harmony with enterprise objectives (the principle of Harmony of Objectives). The more completely an individual has a reporting relationship to a single superior, the less the problem of conflict in instructions and the greater the feeling of personal responsibility for results (the principle of Unity of Command). Interestingly, reporting is the converse function

of directing. In other words, between two persons in the hierarchy, if A directs B, then B reports to A.

1.5.5 Controlling

Another important aspect of directing is exercise of control over the system. Control does not merely mean restrictions or restraints to be forced on the system, but they are guidelines for the organisation to perform according to set standards of efficiency and quality. What is implied in this is, accountability, and the obligation of the staff at all levels, of reporting to a higher authority on their productivity both in terms of quality and quantity. But these would need yardsticks and measurement tools and techniques for evaluating performance. Thus, both directing and reporting are closely related to the controlling function.

In simple terms, controlling can be defined as the process of comparing actual performance with standards and taking any necessary corrective action. Hence, the control process consists of (i) establishment of standards (ii) measurement of performance, and (iii) correction of deviations. The standards may be physical standards, cost standards, revenue standards or even intangible standards. Some of the common traditional control measures are budgets, statistical data, special reports, breakeven point analysis, internal audit and personal observation. Other control measures include time-event network analysis like milestone budgeting, program evaluation and review techniques (PERT/CPM), programme budgeting, profit and loss control, return on investment (ROI) and general key result areas like profitability, market position, productivity, public responsibility, etc.

It has already been stated that establishing standards for quality, quantity, cost and time, measuring performance against set standards, and correcting deviations are the three basic steps involved in measurement of performance. Performance is closely related to techniques of operations and technology employed. Modern management uses techniques of Operations Research, Programme Evaluation and Review Technique (PERT) and Critical Path Method (CPM), system analysis and others for improving quality.

A good control system should be forward looking, objective, flexible, economical, understandable, reflect nature and needs of activity as well as the organisation pattern, promptly report deviations and exceptions at critical points and lead to corrective actions. The other important principles of controlling are listed below:

- Controls require a clearly defined organisational structure;
- Controls must be based on plans;
- Controlling is a primary responsibility of every manager charged with executing plans;
- The control itself should be exercised where the malfunction is likely to occur;
 - Controls must focus on key variables;
 - Controls must be meaningful and economical;
 - Controls must provide accurate and timely feedback;
 - Feed forward controls should be used to supplement feedback control; and
 - Controlling requires action.

Devising effective control instruments for libraries is difficult due to their service and not-for-profit nature. In the absence of realistic, objective and precise standards for measuring performance, libraries resort to use of objectives, budgets, internal audit and the like.

1.5.6 Other Managerial Functions

There are some more managerial functions other than the five most important elements discussed above. Motivating, actuating and leading are already mentioned as sub-functions of directing. In addition, communicating, delegating, coordinating, reporting, budgeting, innovating, influencing, representing, etc., are often mentioned as managerial functions. Let us try to understand some of them.

Coordinating

This is the process of linking several activities to achieve a functional whole in the organisation. In other words, it is the process of ensuring that persons who perform interdependent activities work together in a way that contributes to overall goal attainment. Coordinating is the management of interdependence in a work situation. It is much more than just cooperation and it involves an information giving function. We have learnt in the organising function that the work of an organisation is divided into various functional units and it is the coordinating function that ensures that all these units efficiently contribute to the objective. It is in the coordinating process that a manager has to act like a leader and her/his leadership skills are put to test. The best coordination occurs when individuals see how their jobs contribute to the goals of the organisation. To avoid splintering efforts, the dominant goal of the organisation should be clearly defined and communicated to everyone concerned. Goals of subordinate departments should be designed to contribute to the goals of the organisation. Coordination calls for skill of leadership, communication and delegation.

Communicating

As mentioned earlier, communicating is the transfer of information, ideas, understanding or feeling between people. In other words, it is the process of passing information and understanding from one person to another. It needs no further emphasis amongst library and information people. Communication is an all-pervasive phenomenon. Librarians have to communicate with each other in issuing or responding to directives and in carrying out the functions of management. They also communicate continuously with users and authorities. Communication, both written and oral, is used to obtain and give information for planning and decision making. Even though it may be outside the scope of this unit, you may note that there are many obstacles or barriers to effective communication.

Reporting

It has already been said that reporting is converse of directing. Reporting serves the purpose of keeping authorities and the public at large informed about the performance, achievements and shortfalls for a specific period. This function not only helps with a healthy self assessment but also by maintaining good public relations. Libraries usually generate a great amount of statistical data and reports.

Budgeting

The budget is one of the plan documents. It is a statement of planned allocation of resources expressed in financial or numerical terms. Budgeting includes financial planning, accounting and controlling. Budgeting techniques and budget preparation are discussed in greater detail in Units 10 and 11.

Innovating

As every organisation has to constantly grow bigger and better, innovation becomes an important function of a manager. Innovation means creating new ideas which may either result in the development of new products or finding the new user for the old ones.

Representing

Today’s manager is required to spend a part of his time representing his organisation before various outside groups (stake holders) like Government officials, labour unions, financial institutions, suppliers, customers, etc.

Lastly it is neither desirable nor feasible to list and explain all other managerial functions. Many of them are closely related to and even overlapping with the functions discussed so far.

Self Check Exercises

Note: i) Write your answers in the space given below.

ii) Check your answers with the answers given at the end of this Unit.

2) State five important managerial functions and indicate their significance in effective management.

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3) What is directing? State the sub functions of “directing”.

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1.6 GENERAL PRINCIPLES OF MANAGEMENT

Thinkers, experts and writers on scientific management have evolved useful principles to have practical guidance for management operations. In this section some basic principles provided by F.W Taylor, Henry Fayol and Charles Barnard,

respectively representing scientific management school, operational management theory and systems theory, are presented.

1.6.1 Taylor's Principles

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

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

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

1.6.2 Fayol's Principles

Noting that the principles of management are flexible, not obsolete and must be usable regardless of changing and special conditions, Fayol listed fourteen principles based on his experience. They are summarised below:

- **Division of work:** Specialisation allows workers and managers to acquire an ability, sureness, and accuracy which will increase output. More and better work will be produced with the same effort.
- **Authority:** The right to give orders and the power to exact obedience are the essence of authority. Its roots are in the person and the position. It cannot be conceived of apart from responsibility.
- **Discipline:** Discipline is composed of obedience, application, energy, behaviour and outward marks of respect between employers and employees. It is essential to any business. Without it no enterprise can prosper. It is what leaders make it.
- **Unity of command:** For any action whatsoever, an employee should receive orders from one superior only. One person, one boss. In no case is there adaptation of a social organism to a duality of command.
- **Unity of direction:** One head and one plan should lead a group of activities. It is necessary that all sing the same objective and that is one head, one plan.
- **Subordination of individual interest to general interest:** The interest of one person or group in a business should not prevail over that of the organisation.
- **Remuneration of personnel:** The price of services rendered should be fair and should be satisfactory to both employees and employer. A level of pay depends on an employee's value to the organisation and on factors independent of an employee's worth - such as cost of living, availability of personnel and general business conditions.

- **Centralisation:** Everything that serves to reduce the importance of an individual subordinate's role is centralisation. Everything that increases the subordinate's importance is decentralisation. All situations call for a balance between these two positions.
- **Scalar chain:** The chain formed by managers from the highest to the lowest is called a scalar chain or chain of command. Managers are the links in the chain. They should, communicate to and through the links. Links may be skipped or circumvented only when superiors approve and a real need exists to do so.
- **Order:** This principle is the simple advocacy of a place for everyone, and everyone in her/his place; a place for everything, and everything in its place. The objective of order is to avoid loss and waste.
- **Equity:** Kindliness and justice should be practised by persons in authority to extract the best that their subordinates have to give.
- **Stability of tenure of personnel:** Reducing the turnover of personnel will result in more efficiency and fewer expenses.
- **Initiative:** People should be allowed the freedom to propose and to execute ideas at all levels of an enterprise. A manager who is able to permit the exercise of initiative on the part of subordinates is far superior to one who is unable to do so.
- **Esprit De Corps:** In unity there is strength. Managers have the duty to promote harmony and to discourage and avoid those things that disturb harmony.

1.6.3 Barnard's Principles

Along with scientific management and the manager's tasks, many scholars and practitioners were thinking about experimenting with, and writing on, industrial psychology and on social theory both of which, in many instances, were stimulated by the scientific management movement. We can get the flavour of these developments by looking briefly at the emergence of industrial psychology, the growth of personnel management, and the development of a sociological approach to human relations and management.

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

Physical and biological limitations of individuals lead them to cooperate, to work in groups; while the basic limitations are physical and biological, once people cooperate, psychological and social limitations of individuals also play a part in inducing cooperation.

The act of cooperation leads to the establishment of a cooperative system in which physical, biological, personal, and social factors or elements are present. S/he also makes the point that the continuation of cooperation depends on effectiveness (does it accomplish the cooperative purpose?) and efficiency (does

it accomplish the purpose with a minimum of dissatisfaction and costs to cooperating members?). Any cooperative system may be divided into two parts: “organisation” which includes only the interactions of people in the system, and other elements.

Organisations can in turn be divided into two kinds: the “formal” organisation which is that set of consciously coordinated social interactions that have a deliberate and joint purpose, and the “informal” organisation which refers to those social interactions without a common or consciously coordinated joint purpose. The formal organisation cannot exist unless there are persons who (a) are able to communicate with one another, (b) are willing to contribute to group action, and (c) have a conscious common purpose.

Every formal organisation must include the following elements:(a) a system of functionalisation so that people can specialise (that is, various forms of departmentalisation), (b) a system of effective and efficient incentives that will induce people to contribute to group action, (c) a system of power (authority) which will lead group members to accept the decisions of executives, and (d) a system of logical decision making. The executive functions enter the process through the work of the executive in integrating the whole and in finding the best balance between conflicting forces and events.

To make the executive effective requires a high order of responsible leadership as Barnard so well emphasises, “Cooperation”, not leadership, is the creative process, but leadership is the indispensable culminator of its forces. Bernard’s thesis is a social systems approach, concentrating on major elements of the managerial job, containing extraordinary insights on decision making and leadership.

Self Check Exercise

- Note:** i) Write your answer in the space given below.
- ii) Check your answer with the answers given at the end of this Unit.
- 4) State the Principles of Fayol.

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1.7 SUMMARY

This Unit covered the following subjects:

- The meaning, purpose and scope of scientific management and its relevance to library management.
- Different levels of management and different managerial skills needed at each level.

- Scientific analysis and methods applied to modern management with indications of their applications to library functions and work.
- Managerial functions like planning, organising, staffing, directing and controlling are discussed with some principles, illustrations of techniques and methods developed.
- Principles of scientific management those are applicable as guidelines to all aspects of management.
- Some illustrative examples of scientific methods, tools and techniques to organise and manage modern libraries.

1.8 ANSWERS TO SELF CHECK EXERCISES

1) Modern scientific management involves:

- A systematic analysis of the functions and activities of an organisation into smaller workable units based on a set of logical principles and also synthesising these smaller workable units into a coherent system of operational efficiency.
- A human approach in dealing with the staff, as the staff constitute the real backbone of an organisation.
- Obtaining optimal efficiency and productivity by cutting down cost in terms of money and time.
- An integrated approach in operating the different units as every activity of an organisation is a component of the total system; the best performance of each one of them is of primary importance to achieve desired results.

For all these, management draws from several other disciplines to, work out the principles and practices.

2) Five important managerial functions are:

i) Planning, ii) Organising, iii) Staffing, iv) Directing, and v) Controlling

These elements represent the major functional components of the management process. Each one of these major components is further analysed, into sub-components to streamline actual performance. While each one of these components is viewed separately for the sake of convenience, the inter-relationships and interdependencies necessitate their concurrent and simultaneous operation.

3) Directing is getting things done through persons, individually and collectively. It is a process of exercising control over the system by providing guideline to performance according to set standards of efficiency and quality. It also calls for good interpersonal relationship and effective leadership. Three subfunctions of directing are motivating, actuating and leading.

4) Fayol enunciated the following fourteen principles:

- i) Division of work: Specialisation allows workers and managers to acquire an ability, sureness, and accuracy which will increase output.

- ii) Authority: The right to give orders and the power to exact obedience are the essence of authority. Its roots are in the person and the position. It cannot be conceived of apart from responsibility.
- iii) Discipline: Discipline is composed of obedience, application, energy, behaviour and outward marks of respect between employers and employees.
- iv) Unity of command: For any action whatsoever, an employee should receive orders from one superior only. One person, one boss.
- v) Unity of direction: One head and one plan should lead a group of activities having the same objective.
- vi) Subordination of individual interest, to general interest: The interest of one person or group in a business should not prevail over that of the organisation.
- vii) Remuneration of personnel: The price of services rendered should be fair and should be satisfactory to both employees and employer.
- viii) Centralisation: Everything that serves to reduce the importance of an individual subordinate's role is centralisation. Everything that increases the subordinate's importance is decentralisation. All situations call for a balance between these two positions.
- ix) Scalar chain: The chain formed by managers from the highest to the lowest is called the scalar chain or the chain of command. Managers are the links in the chain.
- x) Order: This principle is simple advocacy of a place for everyone, and everyone in his or her place; a place for everything, and everything in its place. The objective of order is to avoid loss and waste.
- xi) Equity: Kindliness and justice should be practised by persons in authority to extract the best that their subordinates have to give.
- xii) Stability of tenure of personnel: Reducing the turnover of personnel will result in more efficiency and fewer expenses.
- xiii) Initiative: People should be allowed the freedom to propose and to execute ideas at all levels of an enterprise. A manager who is able to permit the exercise of initiative on the part of subordinates is far superior to one who is unable to do so.
- xiv) Esprit De Corps: In unity there is strength. Managers have the duty to promote harmony and to discourage and avoid those things that disturb harmony.

1.9 KEY WORDS

- Breakeven Analysis** : An approach used to determine the amount of a particular product that must be sold if the firm has to generate enough revenue to cover costs.
- Communication** : The transfer of information, ideas, understanding or feelings between people.

CPM (Critical Path Method)

Effectiveness

- : A planning and control technique that; involves the display of a complex project as a network with a onetime estimate used for each step in the project.
- : The degree to which the process produces, the intended outputs. (The relationship between a responsibility centre's output and its objectives. The more these outputs contribute to the objectives, the more effective the unit is).

Efficiency

- : The proportional relationships between the quality and quantity of input and the quality and quantity of output produced or the ratio of output to input.

Job Analysis

- : The process of determining the skills and knowledge required for performing jobs in the organisation

Job Description

- : A document that provides information regarding the tasks, duties and responsibilities of the job.

Job Specification

- : A statement of the minimum acceptable qualifications that a person should possess to perform a particular job.

Job Enlargement

- : Changes in the scope of a job so as to provide greater variety to the worker.

Job Enrichment

- : Basic changes in the content and level of responsibility of a job so as to provide greater challenge to- the worker.

Leadership

- : The process by which a manager guides and influences the work of her/his subordinates (or influences others to do what the leader wants them to do).

Linear Programming

- : A mathematical simulating method and process of calculating, evaluating and programming optimum path of action, process or operation for management consideration.

Management Information:

Collective term reporting to any advanced organisational (electronic, mechanical; modular, evolutionary) communication device, process, network, or system that is capable of generating recording, storing, and making available information and data as required by management for planning; organising, decision making and control.

Marketing Technique

- : The systematic gathering, recording and analysing of data about problems relating to marketing of goods and services.

Motivation : Arousing the desire in the minds of workers to give of their best to the enterprise, i.e., an act of stimulating or inspiring workers.

Network Analysis : Planning, scheduling, monitoring and evaluation of systems for management.

Operations Research (OR): A management function and process of studying organisational activities and problems with the framework of mathematical, statistical and related scientific methods or processes in order to develop, test and apply models and methods of planning, forecasting, solving problems and decision making.

Programme Evaluation : A computer implemented planning and control system designed to help top management in planning, research, problem solving, decision, making and control of organisational process.

Queuing Theory : A form of probability theory used by management to determine and/or to develop optimum methods of handling relationships between units, locations, events, facilities or activities to avoid delays.

Simulation Techniques : A computer technique to create a model by assuming General Principles of Management or imitating a particular method, appearance, form or shape.

Systems Analysis : The scientific study and analysis of all related aspects of an organisational management system to determine the necessary steps for continuation, improvement or correction.

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UNIT 2 TOTAL QUALITY MANAGEMENT

Structure

- 2.0 Objectives
- 2.1 Introduction
- 2.2 Quality
 - 2.2.1 Why do We Need Quality?
- 2.3 Total Quality Management
 - 2.3.1 Principal Objectives
 - 2.3.2 Gurus of TQM
 - 2.3.3 Quality Circles
- 2.4 Implementing TQM in Libraries and Information Centres
 - 2.4.1 How to Use the Principles of TQM in Libraries
 - 2.4.2 Requirements for Implementing TQM in Libraries
 - 2.4.3 Problems in Implementing TQM in Libraries
- 2.5 Summary
- 2.6 Answers to Self Check Exercises
- 2.7 Keywords
- 2.8 References and Further Reading

2.0 OBJECTIVES

After reading this Unit, you will be able to:

- explain the concept of quality and total quality management (TQM);
- discuss the organisation's need for quality;
- identify the process of TQM;
- describe how TQM is applied in library and information centres; and
- highlight the requirements and problems of implementing TQM in libraries.

2.1 INTRODUCTION

A new approach of management which is known as Total Quality Management (TQM) was originated in 1950's in Japan and later became popular in the whole world. The approach is basically related with satisfying customer needs that further leads to quality in all processes of the organisation. TQM is basically for the customer focused organisations and for those involving all employees for producing quality products and rendering quality services. TQM is a structured system of continuous improvement, employing participative management technique and centered around the needs of the customers. It is a way of managing, to improve the effectiveness, flexibility and competitiveness of an organisation as a whole. TQM is also called the method of removing waste by involving each and every one and improving the way things are done. In this way TQM is the art of managing the whole organisation to achieve excellence.

2.2 QUALITY

Quality is a measure of the achievement of an organisation in terms of customer satisfaction. It means everything that an organisation does, in the eyes of the customers. It is the excellence that is better than a minimum standard. Some of the important definitions of the concept quality are given below for your understanding:

Joseph M Juran said “Quality is fitness for use or purpose”.

ISO 9000:2000 defines “Quality is the degree to which a set of inherent characteristics fulfills requirements”.

Bill Conway defines quality as “Development, manufacture, administration and distribution of consistently low cost and products and services that customers need and want”.

W. Edwards Deming defines it as “A predictable degree of uniformity and dependability at low cost and suited to market”.

According to **Sarkar**, “Quality of a product or service is the ability of the product or service to meet the customers’ requirements”.

Based on the above definitions it becomes clear that quality is a multidimensional concept that relates human needs to human actions as well as to organisational goals. It is not a static process or concept but as a dynamic process it changes according to changes in the needs of the customers. Hence the quality is deeply user-oriented.

2.2.1 Why do We Need Quality?

Any organisation needs quality for:

- Customer satisfaction and happiness
- Goodwill (image of the organisation) and high productivity
- Capturing the market
- Minimising the cost as well as losses
- Maximising the profit
- Recognising the role of everyone in the organisation
- Fixing a common goal for the entire organisation
- Emphasising teamwork among the staff
- Establishing performance measures for the employees
- Betterment of employees
- Increased viability.

2.3 TOTAL QUALITY MANAGEMENT

TQM is a philosophy and not a technique. It is based on three basic concepts: quality control, employee participation and customer satisfaction. “TQM is a management approach for an organisation, centered on quality, based on the

participation of all its members and aiming at long-term success through customer satisfaction, and benefits to all members of the organisation and to society.” In TQM customer satisfaction, is the organisation’s foremost priority because success of the organisation depends upon the customer satisfaction. TQM can be elaborately defined as:

- **Total:** It means everyone in the organisation is responsible for Quality irrespective of their position and functions. In this way it takes systems view (total view) which is exhaustive and rigorous.
- **Quality:** Meeting customer’s needs at the lowest cost, first time and every time. Produce and serve according to customer needs.
- **Management:** Continuous improvement by an interactive network of communication and control. Commitment of top managers and optimum utilisation of resources.

In this way TQM is the art of managing the whole to achieve excellence. It is based on:

- **One objective:** Continuous improvement
- **Three principles:** Customer focus, Process improvement, Total involvement
- **Six Elements:** Leadership, Education and Training, Communication, Supportive structure, Measurement, Reward and Recognition.

2.3.1 Principal Objectives

- Continuous improvement
- Customer focus
- Continuous and relentless cost reduction and quality improvement
- Total participation
- Prevention and zero defects

Continuous improvement is the heart of TQM as it links product quality and customer satisfaction. This leads to measuring and monitoring all activities of the process cycle so best products can be obtained. The theory of prevention rather than detection is followed in this context. The customer-driven approach helps to prevent errors. For successful implementation of TQM, committed and well trained work force is required. Participation of employees is reinforced by award, reward and recognition system. The education and training of employees is also very essential for the quality. This involves the continuous improvement of organisational processes, resulting in high quality products and services. Good quality leads to more productivity and results in:

- Increased sales
- Profit
- Minimum losses
- Error reduction
- Reducing customer complaints

In a manufacturing concern, the customer is remote, where as in service organisation like a library, producers and consumer meet face to face. Managing service organisations is more complex. TQM is a way of life for such organisations.

Deming is credited with providing the foundation of the Japanese quality miracle. He developed the following 14 points for managing the improvement of quality, productivity, and competitive position:

- 1) Create constancy of purpose for improving products and services
- 2) Adopt the new philosophy
- 3) Cease dependence on inspection to achieve quality
- 4) End the practice of awarding business on price alone; instead, minimise total cost by working with a single supplier
- 5) Improve constantly and forever every process for planning, production, and service
- 6) Institute training on the job
- 7) Adopt and institute leadership
- 8) Drive out fear
- 9) Break down barriers between staff areas
- 10) Eliminate slogans, exhortations, and targets for the workforce
- 11) Eliminate numerical quotas for the workforce and numerical goals for management
- 12) Remove barriers that rob people of pride in their work, and eliminate the annual rating or merit system
- 13) Institute a vigorous program of education and self-improvement for everyone
- 14) Put everybody in the company to work to accomplish the transformation

Based on the above discussion it is pertinent to say that the three main components of TQM are:

- Planning;
- Review; and
- Performance tracking.

2.3.2 Gurus of TQM

Many experts have given theories of TQM. These experts are known as Guru's of TQM. The main among them are:

- Walter. A. Shewhart – TQC &PDSA
- W. Edwards Deming – 14 Points, SPC (Statistical Process Control) & PDCA (Plan, Do, Check and Act)
- Joseph. M. Juran-Juran's – Trilogy (Quality Planning, Quality Control and Quality Improvement)

- Armand.V. Feigenbaum – Customer requirement, CWQC, Employee Involvement, TQC (Total Quality Control).
- Kaoru Ishikawa-Disciple of Juran & Feigenbaum. Introduced Quality Control Circles (QCCs), also introduced seven tools for quality control purposes they are: Histograms, Check sheets, Pareto diagrams, Control charts, Scatter diagram, Flow charts and Cause & Effect Diagram (also known as Fishbone or Ishikawa diagram).
- Philips.B.Crosby – Four Absolutes-Quality-Requirements, Prevention of NC, Zero Defects & Measure of NC, 14 steps to implement quality programs.
- Shigeo Shingo- Zero defect.
- Taguchi.G-Loss Function, Orthogonal Arrays and Linear Graphs, Robustness.

The details about these gurus of TQM and their theories are part of MLIS syllabus, we are not discussing them here in detail.

Self Check Exercises

Note: i) Write your answers in the space given below.

ii) Check your answers with the answers given at the end of this Unit.

1) Define quality and explain why do we need quality?

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2) What are the principle objectives of TQM?

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3) Name the main Gurus related with the concept of TQM

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2.3.3 Quality Circles

The quality circle was first developed in Japan, during 1960s and later it became popular elsewhere. The concept is based on the recognition of the value of the employees.

- The concept of Quality Circle is central to TQM and it ensures staff participation in full measure towards achieving the targeted goals of the organisation
- A Quality circle is a small group of people which meets regularly for solving problems
- They are helpful in developing team spirit in the organisation as well as well as lead to improved organisational culture
- These circles improve communication within the organisation and also act as motivation to employees of the organisation
- They are the best examples of participative management in organisations. They promote job involvement of employees
- They are helpful in bringing leadership qualities in the employees
- It can also be used as a human resource development technique.

ISO 9000

- It is tool for improvement and improves professional image of the organisation where it is implemented
- The ISO series comprise 9000, 9001, 9002, 9003 and 9004
- The ISO series does not lay down the goals and objectives; it rather provides a framework, methods and structure for organisations to adopt quality systems. It is applicable to any type of organisation

We can say that training and teamwork is very important for TQM. Commitment and personal involvement of the top managers is very essential for the successful implementation of TQM. It is the management process for improving all the functions in the organisation. It supports meeting customer requirements through continuous improvement. Customer satisfaction is given the highest priority in TQM. Internal monitoring is very essential for TQM implementation.

2.4 IMPLEMENTING TQM IN LIBRARIES AND INFORMATION CENTRES

Quality management is used for a long time in industries but the service institutions like libraries have more recently started applying TQM to provide quality services to the users. As we have discussed in the previous section of this Unit that TQM is focused on the requirements of the customer. Library is a service oriented organisation with major goal to serve the customers. A library patron or user as a customer demands a service and expects that library should provide that service. The prime objective of the library is to provide information, services and products to the users. TQM offers an approach for libraries to design processes, policies and jobs so that they are the best and most effective methods for serving users' needs by eliminating inefficiencies and assuring quality service.

Librarians must find out what readers want and concentrate upon providing it. Designing an appropriate service means asking:

- Who are the customers?
- What do they want?
- What can the library provide and need to do to meet the user's expectations?
- How libraries know about their performance?
- What needs to be changed or continued according to performance of the service or product of the library?
- How do library communicate with the users?
- To what extent, library knows the current and potential needs of the users?

TQM is seen as a commitment to service with a flexible and future-oriented approach to management. It links the services and products with user demands. The importance of TQM for libraries is not just limited to know about users needs but also to assess her/his need in anticipation. However while applying TQM one has to remember that it does not provide a quick solution and TQM needs integrated efforts for improving the quality of the services.

A good understanding of applying appropriate quality management concepts and techniques is essential for effectively implementing TQM in libraries. In the context of libraries, customer satisfaction means fulfilling expectations of users.

In libraries, users generally judge quality in relation to:

- Collection
- Services
- Products
- Skills and behaviour of Staff
- Infrastructure
- Display of information about the facilities provided by the library
- Proper communication facilities to the users
- Complaint and suggestion system for the users.

Generally any user of the library judges the quality of the library by keeping in view the following points:

- accuracy of the services;
- adequacy of the need-based services;
- timeliness of the services
- exactness of the information provided
- cost of the service
- professionally trained and committed staff
- attitude of the staff towards users.

User-based approach is based on the idea that quality lies in the eyes of the beholder and that the customer (or user) is the ultimate judge of quality. Yet, it is not very easy to apply TQM in libraries because of wide range of user needs and ever increasing demands.

Implementing TQM in libraries is not just changing certain procedures but to have a total rethinking. Change in whole culture is needed to make libraries completely quality-driven and customer-oriented. For this purpose not only words but actions and teamwork are essential. The role of library staff is also very crucial in this regard. To implement TQM in libraries, a long-term plan with clear objectives and vision is needed. It is considered fruitful only if we make library work more with achievement-orientation. In libraries we measure performance of products and services not only quantitatively but qualitatively also.

2.4.1 How to Use the Principles of TQM in Libraries

We know that product quality is the result of process quality and the quality products lead to customer satisfaction. Rapidly responding to customer requirements is very necessary for the library staff for providing them their desired products and services in time. Measuring and monitoring the whole process are also essential in TQM implementation.

“Sirkin” suggests some ways a library might use the principles of TQM to enhance library services.

- Create service brochures and information kits.
- Conduct a user survey about library services.
- Improve signage.
- Change hours of operation.
- Provide a more convenient material return.
- Simplify checkout of material.
- Use flexibility in staff assignment.
- Co-operate with local government.
- Ask vendors to give products demonstration.
- Give new staff a through orientation.
- Create inter departmental library advisory groups.
- Improve the physical layout of the library.
- Track complaints.
- Develop an active outreach programme.
- Open satellite offices.
- Publicise new services or changes in services.
- Develop user and staff training materials.
- Target services to specific groups.
- Offer electronic document delivery.
- Follow the mission statement.

Several methods, tools and techniques are used to measure the dimensions of quality of services that are utilised by a user in the process of evaluating library services (Dash, 2008).

- Performance – Performance of library services according to the user’s need.
- Features - Special features of library those appeals to users.
- Access – Approachability to library and easy access to document.
- Competence – Possession of special skills and knowledge required for performing the library services in the changing context.
- Responsiveness – Whole-hearted endeavour to provide services as soon as possible.
- Courtesy – Respect, politeness and tidy appearance of library staff.
- Communication – Listening carefully to the users, educating and informing them in the language in which they can understand easily.
- Reliability – Providing reliable information thus making users free from doubt and confusion.
- Credibility – Trust worthiness, belief that staff is having the user’s best interest at heart.
- Tangibles – The physical evidence of various services, tools, equipments, and latest information technologies.

For effectively implementing TQM in libraries quality will have to be introduced at design stage of product and service keeping in view the theory of prevention rather than later detection and rectification. For this purpose short product introduction cycles needs to be introduced so that the product will reach to the customer in time.

The following figure shows that how TQM is being implemented in libraries and information centres:

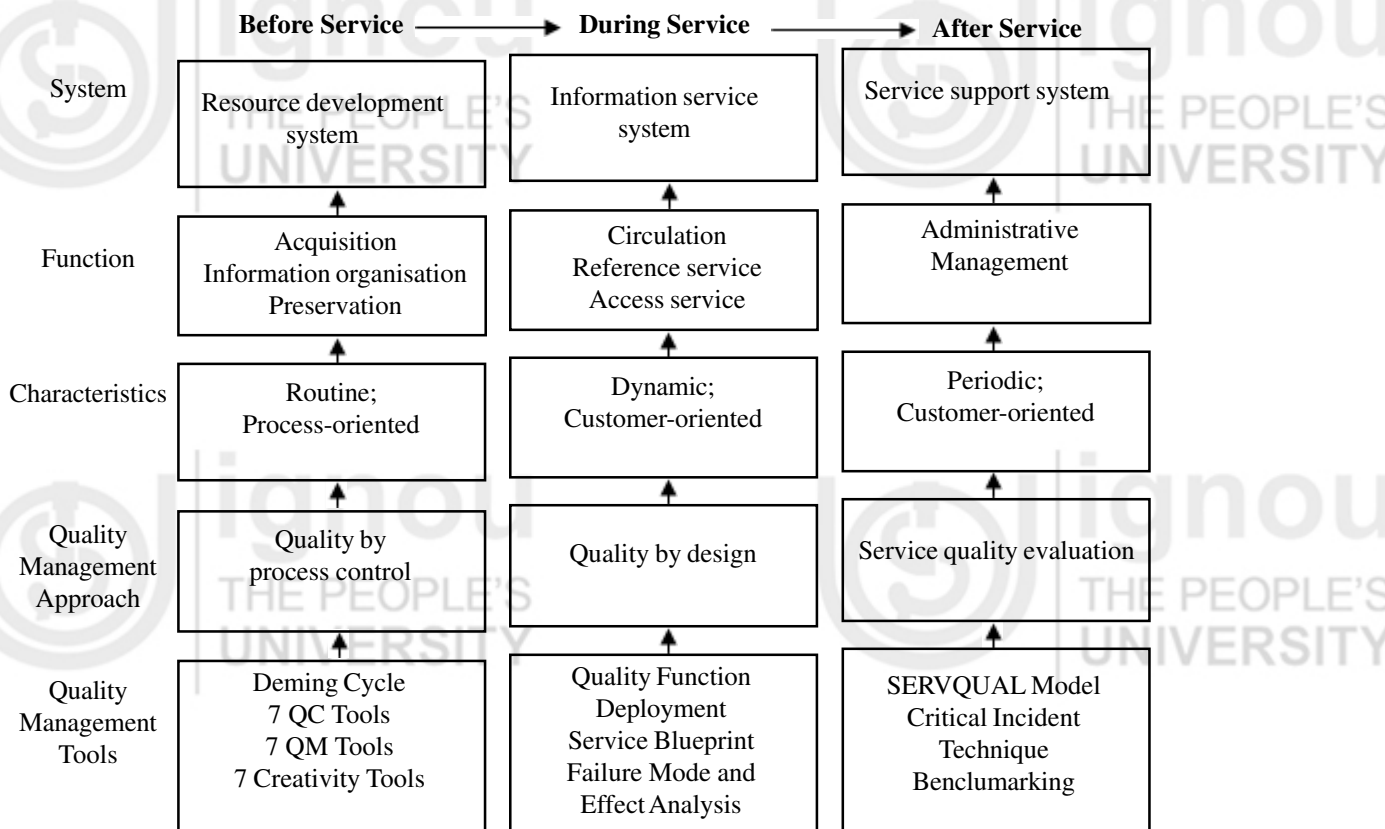


Fig. 2.1: Quality Management Approaches in Libraries and Information Services

Source: <http://www.librijournal.org/pdf/200-3pp191-201.pdf>

The expectations with which a customer comes to a library have a critical effect upon her/his perceptions of quality. It is better to acquire a reputation for one or two factors which are important to customers and to concentrate upon developing them. Service delivery is like a theatrical performance. It is also important to find out which services can be automated without losing the personal touch.

The circulation desk staff is the front line staff that play a critical role in a library because they represent the library; they are the first to deal with inquiries/crises; manage the reader interface. Similarly Reference staff is also very helpful in building the image of the library among the users so public services staff must be carefully-appointed and must be given periodic training to keep up-to-date.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with the answers given at the end of this Unit.

4) Explain how to implement TQM in libraries and information centres?

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2.4.2 Requirements for Implementing TQM in Libraries

Effective implementation of TQM in libraries presupposes certain requirements. They are:

Proper Infrastructure: Support systems should reflect customers’ priorities. Lack of infrastructure is a common problem in libraries. It is important that management must ensure appropriate infrastructure that are required for providing quality services are provided to libraries.

User education: Making users aware of processes, products and services of libraries is an important necessity. If customers are to gain maximum benefit from a service, they must know how to use it. Well-planned user education is a must for implementing TQM in libraries. For this purpose, libraries should organise workshops, lectures, seminars and invite users to participate so as to have better communication with them.

Training of Staff: In order to enable staff to deal effectively with the changing environment and serve users as required, the staff have to undergo training. All library staff must receive training including on–the–job guidance and training. Well-trained staff is the competitive weapon for better quality service in a library. Constructive role of library staff is very essential in implementing TQM in libraries. It is not enough if a library provides a good product or service to its users. The attitude of the staff matters the most. If staff is not helpful to the users, it becomes a major hindrance in providing total quality to the customer.

User Studies: To know about the feedback of users regular/ periodic user studies are required. Getting feedback from the users is important to ascertain the quality

of service. Regular users of a library can be given a questionnaire to get feedback from them for improving service. User satisfaction surveys will also give good feedback to make service more effective and such services create positive impact on the customers. These are the ways to find out loop holes in the system. This will help not only in improving the existing services but also introducing new services according to the needs of the users. It is not enough to collect user feedback, but proper analysis of the data should also be carried out to have the clear picture.

2.4.3 Problems in Implementing TQM in Libraries

Some major hindrances in implementing TQM in libraries are:

- Paucity of funds
- Lack of adequate infrastructure
- Lack of support from top management
- Rigid organisational culture and structure
- Employees resistance to change
- Improper and irregular training and education of the library staff
- Improper planning as well as lack of long-term planning
- Lack of coordination among staff and management and also at various level in the library
- Not applying marketing approach in libraries
- Not conducting proper market research (user research) to know about user requirements.

2.5 SUMMARY

In this Unit, we have discussed the concept of quality, total quality management, quality circle and ISO series of standards on service quality. TQM essentially focuses on meeting customers' needs by providing quality services and in this processes role of everyone in the organisation is recognised and emphasis is laid on the teamwork. This effective involvement and utilisation of the entire workforce take place to establish performance measure for the processes. We have noted how TQM approach can be implemented in libraries and information centres and how the needs of the users are to be kept in view to know their quality expectations. As service-oriented organisations, libraries know that a satisfied customer visit library again and again. Therefore, quality management system should be built in all the operations of the libraries in order to integrate quality in all facets of library working. This way it is a systematic process of continuous improvement. The philosophy of TQM is that any organisation is successful if its customers are satisfied.

2.6 ANSWERS TO SELF CHECK EXERCISES

1) Generally by quality we mean the measure by which any organisation knows about its customer satisfaction. We need quality because of the following reasons:

- Customer satisfaction and happiness

- Goodwill (image of the organisation) and high productivity
- Capturing the market
- Minimising the cost as well as losses
- Gaining the profit
- Recognising the role of everyone in the organisation
- Fixing a common goal for all the organisation
- Emphasising teamwork among the staff
- Establishing performance measures for the employees
- Betterment of employees
- Increased viability.

2) The main objectives of TQM are:

- Continuous Improvement
- Customer focus
- Continuous and Relentless Cost Reduction and Quality Improvement
- Total participation
- Prevention and Zero defects.

3) The following are the main Gurus of TQM:

- Walter.A.Shewhart
- W.Edwards Deming
- Joseph.M.Juran-Juran's
- Armand.V.Feiganbaum
- Kaoru Ishikawa
- Philips.B.Crosby
- Taguchi.G

4) Implementing TQM in libraries is not just changing certain procedures but a total rethinking is needed. A change in whole culture is needed to make libraries completely quality driven and customer oriented. For this not only words but actions and teamwork is essential. Role of library staff is very crucial in this context. For implementing TQM in libraries long-term planning with clear objectives and vision is needed. It is fruitful if we make library work more achievement oriented.

“Sirkin” suggests some ways a library might use the principles of TQM to enhance library services.

- Create service brochures and information kits.
- Conduct a user survey about library services.
- Improve signage.
- Change hours of operation.
- Provide a more convenient material return.

- Simplify checkout of material.
- Use flexibility in staff assignment.
- Co-operate with local government.
- Ask vendors to give products demonstration.
- Give new staff a through orientation.
- Create inter departmental library advisory groups.
- Improve the physical layout of the library.
- Track complaints.
- Develop an active outreach programme.
- Open satellite offices.
- Publicize new or changes services.
- Develop user and staff training materials
- Target services o specific groups.
- Offer electronic document delivery.
- Follow the mission statement.

2.7 KEYWORDS

Quality : In simple terms quality mean degree of excellence.

Quality Control : The set of procedures used to achieve quality is known as quality control.

Quality Circles : It is a small group of people meeting regularly to solve the problem.

Total Quality Management : It is a continuous process to ensure maximum customer satisfaction and delivering quality products and services to the customers.

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UNIT 3 CHANGE MANAGEMENT

Structure

- 3.0 Objectives
- 3.1 Introduction
- 3.2 Concept of Change and Change Management
- 3.3 Forces of Change
 - 3.3.1 External Forces
 - 3.3.2 Internal Forces
- 3.4 Types of Change
- 3.5 Change Management Process
- 3.6 Strategies for Change Management
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 - 3.6.3 Negotiative Strategy
 - 3.6.4 Educative Strategy
 - 3.6.5 Participative Strategy
- 3.7 Resistance to Change
- 3.8 Change Management in Libraries and Information Centres
- 3.9 Summary
- 3.10 Answers to Self Check Exercises
- 3.11 Keywords
- 3.12 References and Further Reading

3.0 OBJECTIVES

After reading this Unit, you will be able to:

- know the concept of Change management;
- understand the forces and different types of Changes;
- identify process and strategies for Change;
- describe reasons for resistance to Change; and
- explain the necessity of Change management in library and information centres.

3.1 INTRODUCTION

You might have witnessed significant changes around you in almost every aspect of life. This is the reason why Change is called “as the law of life” because the only thing constant and consistent is change. The pace of change has increased drastically during the past few decades almost in every walk of human life. The reasons for this are technological developments, globalisation and competition. In today’s world uncertainties have made the manager’s job very difficult and challenging. Most of the organisations find it difficult to manage change well so people are afraid of change, they thought of losing something because they have

incomplete information on how the change processes will affect their personal situation, in relation to their workload or responsibilities. The process of change management needs thoughtful planning and implementation as well as involvement of each and every one who are going to be affected by these changes. For this purpose effective change management is needed. This unit discusses issues related with change management and how it can be implemented in managing libraries and information centres.

3.2 CONCEPT OF CHANGE AND CHANGE MANAGEMENT

Change is defined as “to make or become different, give or begin to have a different form.”

‘Change’ also means dissatisfaction with the old and belief in the new.

Change underlies a qualitatively different way of perceiving, thinking, behaving and to improve over the past and present.

In this way, change is the process of moving from current state to future state and in between come the transition state which creates stress and anxiety.

When we say change management, we mean making changes in a planned and systematic fashion. In another way, change management is a systematic approach in dealing with the change, both from the perspective of an organisation as well as on the individual level.

In Change management process the changes of a system are implemented in a controlled manner by following a pre-defined framework/model, to some extent with reasonable modifications.

Change management means to plan, initiate, realise, control and then finally stabilise the change processes on both corporate and personnel level.

Change management plays an important role in any organisation since the task of managing change is not an easy one. Change management can ensure standardised methods, processes and procedures that are useful for all changes. It is also useful for efficient and prompt handling of all changes and to maintain a proper balance between the need for change and the potential detrimental impact of changes. The main objective of change management is to reduce the probability of change implementation failure; reduce resistance to change and to get maximum benefit from the implementation.

A very useful framework to perceive change process is the problem solving. Managing change is seen as a matter of moving from one state to another specifically from the problem state to the solution state.

Change management can be referred from two perspectives:

- Organisational change management
- Individual change management

Organisational change management is the management of change from the perspective of a manager or the top leadership. It takes into account both the

processes and the tools that managers use to make changes at an organisational level. It focuses on change management practices and skills as well as strategies, plans and training programs. It is related with one to many (one manager dealing with the whole organisation collectively). The emphasis is laid on communication, training and the overall culture or value system of the organisation.

Individual change management is the process of helping employees to understand them where they are in the change process and managing that change effectively. This change management is related with bottom level that means employees. It is related with one-on-one (each individual is given emphasis because they are the one who bring change). The focus for individual change management is on the tools and techniques to enrich employees through the transition.

Libraries must change to survive. The amount, diversity and speed of information available today have forced libraries to change the mode of their services and operations for the benefit of the users. Librarians must analyse their own contexts for change, to monitor external trends as contexts for change and planning to position their own libraries in new contexts and to learn to manage change to move from present into future. The fifth law of library science “Library is a growing organism” is also related with the change because growth always implies change and this change is a challenge to both the libraries and the librarians. They must establish their strategies and select roles. The role of libraries has gradually changed from the traditional storehouse of information to access providers. Libraries like other organisations must respond proactively to their changing environment.

Self Check Exercise

Note: i) Write your answer in the space given below.

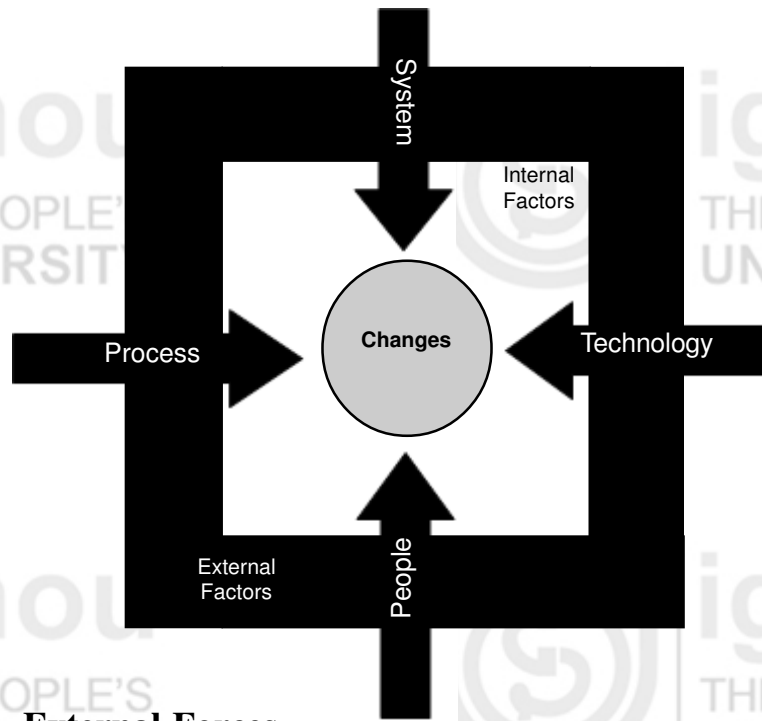
ii) Check your answer with answers given at the end of this Unit.

1) Differentiate between individual and organisational change management.

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3.3 FORCES OF CHANGE

Organisations undergo change for their betterment. It facilitates the overhauling of organisational systems and processes. Typically, the concept of organisational change, in regard to organisation is wide, as opposed to smaller changes. Change should not be done for the sake of change rather it’s a strategy to accomplish some overall goal. Some major driving force provokes usually organisational change. The forces can be from internal or external sources. Awareness of these forces assists managers to implement an organisational change.



3.3.1 External Forces

External forces for the change originate outside the organisation and it might have a global effect. These are also called environmental forces that are beyond the management’s control. External forces such as demographic characteristics, economic factors, technological advancements, market changes and socio-political pressures are affecting the operating environment in organisations.

Demographic changes are related with the diversity in workforce. It is a well-known fact that globalised economy has created increased threats and opportunities, forcing organisations to make drastic improvements not only to gain competitive advantages but many times to survive. Rapid technological innovation is another force for change in organisations and those fail to keep pace with will be bound to lag behind. Market changes such as competitors introduce several new things like new products, reduce prices or augment customer services. At the same time, changes occur in customer tastes, interests and income. Some changes are created by social and political events. Political events may create substantial change. But it is difficult for organisations to predict such changes. Thus managers are required to adjust their managerial style or approach to fit within these changes.

3.3.2 Internal Forces

These forces originate from inside the organisation and are under the control of the organisation. These forces come from human problems and managerial behaviour and decisions. Generally problems related with the human behaviour are about how they are treated at their workplace. No organisation can progress without the commitment and dedication of its employees. Dissatisfaction among employees regarding the working conditions as well as individual and organisational needs may lead to conflict between management and their employees. Excessive interpersonal conflict is often a clear sign that change is needed. Unusual or high levels of absenteeism and turnover also represent the forces for change. How an organisation decides to motivate, communicate and integrate change into the work force will determine the magnitude of its success.

Employee's participation and suggestions are must in this regard. Leadership training is also vital to this problem.

Change, by its very nature is unpredictable and often unmanageable, yet an organisation's success depends upon its ability to predict and control change in one or another way. The internal and external forces of change are quite interrelated so both of these must be taken into consideration while planning for an organisational change. These changes must be planned and actively managed if organisations want to survive and grow. Constantly assessing where we are and where we want to be, alert managers to the changes that are needed and accordingly they involve employees. When employees realise that change will benefit them, they welcome the changes. Management must assist employees in accepting change and help latter to become well adjusted and effective, once these changes have been implemented.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with answers given at the end of this Unit.

2) What are the main factors leading to change?

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3.4 TYPES OF CHANGE

There are different types of change and each type requires different strategies and plans to implement change effectively. Understanding of the nature of change helps in formulating appropriate strategy for their implementation. The main types of changes are as follows:

i) Developmental change

These changes enhance or rectify existing aspects of an organisation. It is connected with improvement in process, methods or performance standards of the organisation. These types of changes are very necessary to remain in competition. In this type of change the employees are trained in the new techniques.

ii) Transitional change

This type of change replaces existing processes or procedures with something that is completely new. The period during which an old process is being changed into a new is called as the transitional phase. It is more challenging to implement transitional change than developmental change.

iii) Transformational change

It is also known as radical, fundamental or quantum change. This occurs after the transition period. They may involve both developmental and

transitional change. These changes involve the whole or larger part of the organisation. The change is related with shape, size, structure, processes, culture and strategy of the organisation. This change takes time to occur and requires a shift in assumptions of the organisation and its members.

iv) **Incremental change**

They are directed towards any unit, subunit or part of the organisation. They are just opposite to the transformational changes and adaptive in nature. It is said that a failed incremental change causes less harm to the organisation as it is related with only a part of the organisation.

v) **Planned change**

When the change is, a product of conscious reasoning and actions and is deliberate it is known as planned change. It occurs when manager recognises the need for major change and plans according to it. It is qualitative in nature. While thinking of planned change the manager must communicate the vision to each and every one involved in the change process and establish the support elements that are necessary for the success of change.

vi) **Unplanned change**

They usually, occur due to some major or sudden surprise to the organisation. It is also known as emergent or reactive change. They are generally imposed by some external factors or internal features and are beyond the control of management. They leads to high disorganisation.

3.5 CHANGE MANAGEMENT PROCESS

Generally responsibility for managing change lies with the management and executives of the organisation. It is a definite process, which includes several stages or steps. By following the change management process the monitoring and controlling of change becomes easy. The change management process helps in:

- Checking the feasibility of each change
- Managing changes properly
- Controlling the changes
- Identify requests for change

In the change process it is beneficial to the manager to think about the following questions before starting the process:

- What needs to be changed?
- To what extent it needs to be changed?
- How this change will happen?
- How this change can be sustained?

Steps or Phases of change

Step 1: Assess need for change

In this phase a problem is recognised as well as organisational and need assessment is done. This is the preparatory phase, which helps in developing the foundation upon which the change is made.

Step 2: Purpose for change

In this stage, decisions regarding changes to make ideal future state and obstacles in the change process are considered. Here a team is also built to implement the change and a team leader or “change agent” is identified. Strategies are also finalised in this phase.

Step 3: Plan for change

A formal plan for managing change is prepared in this phase. Flexible priorities are set.

Step 4: Implement the change

In this phase actual changes are made. This phase involves variety of things like meetings, training of employees, etc. Here feedback is also obtained whether the change is successful or not. Comparison with others is made and corrective actions are taken.

Step 5: Sustaining the change

It is known as commitment phase. It helps in understanding how to sustain support for the changes. Here integration of results is made.

To ensure successful change management, it is essential to have a disaster recovery plan at all stages. Change is a costly affair but it becomes very rewarding if carefully and thoughtfully implemented. Since huge resources are needed for change management process, quality plans are essential for it and it is the responsibility of the top management to ensure successful change.

3.6 STRATEGIES FOR CHANGE MANAGEMENT

Change can be approached in a number of ways. Efficient change management strategies are required for overcoming the change in the organisation. For this purpose five strategies are adopted:

3.6.1 Directive Strategy

In this strategy authority and power of the manager is used to manage change. This is mostly used by the top-level management with no or minimum involvement of others. The advantage of this strategy is that it can be undertaken quickly as it involves less number of people. The disadvantage of this strategy is that it does not consider the opinion of others who are involved or affected by these changes. In this strategy the changes are imposed upon the staff without any discussion or their preparedness which may cause resentment among them.

3.6.2 Expert Strategy

In this approach the change is viewed as a problem solving process and for this purpose help of an expert is taken to resolve it. In this approach also there is little involvement of those who are affected by these changes. The main advantage of this approach is that with the help and guidance of experts the change can be implemented quickly and effectively.

3.6.3 Negotiative Strategy

In this strategy the top management discusses the various issues with those who are affected by the changes. This approach involves negotiation and bargaining on the part of the top management to implement the changes in the organisation. The changes to be made are discussed and the methods of implementation and the possible outcomes are also agreed upon. The major advantage is that this approach have major involvement of all those who are affected by these changes which results in participation and support from all. The main disadvantage of this approach is that it takes longer to implement the changes. Another disadvantage is that it is difficult to predict all the possible outcomes. In this approach the changes made are not always as per the expectations of the managers.

3.6.4 Educative Strategy

This approach is based on redefining and reinterpreting people's norms and values thus motivating them to support the changes being made. Here the main attention is on them who are involved in the process of change. The theory behind this approach is that people's behaviour and mindset is governed by social norms and values and to change them first these existing norms and values must be changed and redefined. And for this education, training, consultation must be needed. The advantage of this approach is that it helps in developing positive commitment to the changes being implemented. Thus this approach brings the support and participation of the individuals in the organisation. The major disadvantage is that it takes longer to implement because of involvement of several people.

3.6.5 Participative Strategy

As the name suggests it is based on participation of all individuals in the change process. Though the decisions are taken by the top level management, discussions and meetings are held for taking the view of the individuals before implementing the change. The focus is on full involvement of those who are affected by the changes. The views of the experts and consultants are also sought. The major advantage is participation and involvement of all so the change process has support of all. It gives individuals an opportunity to increase their skills and knowledge about the organisation and its functioning. The main disadvantage is that it takes longer to implement the changes as, it is relatively slow. It is not only time consuming but costly also because of number of meetings and discussions. Moreover, it is difficult to predict the possible outcomes. So this strategy is more complex to manage and requires more resources and costs.

Any of these strategies is not independent or mutually exclusive. Depending on the circumstances, a range of strategies can be employed to implement change in the organisation. Effective change management involves assessment and monitoring to recognise what strategy/s to employ, when, where and how to use them in order to be most effective.

3.7 RESISTANCE TO CHANGE

Both Change and resistance to change have common occurrence within organisations. Resistance is an inevitable response to any major change. "Resistance is the employee's resultant reaction of opposition to organisational

change” (Keen, 1981; Folger & Skarlicki, 1999). It emerges when there is a threat to something the individual value. The threat may be real or just a perception. It is the result of the understanding or misunderstanding of the change or total ignorance about it. Resistances to change are of several types and understanding of these helps in reducing ways of resistance and encourage compliance with change. In this context sometimes the help of change agent should be taken. The reasons of employee’s resistance to change are as follows:

i) **Lack of Understanding**

The Employees do not understand why the change is happening when they don’t have sufficient knowledge about the change. Some communication problems are often related with this aspect of change. Without understanding the reason behind the change, it becomes quite difficult for people to accept change.

ii) **Fear of unknown and failure**

Employees resist change because they have to learn something new. They fear the unknown and about their ability to adapt it. People are always suspicious about the unfamiliar thing; they are concerned about how to get from the old to new, because it involves learning something new with risk of failure. They are very much satisfied with the status quo and try to maintain it.

iii) **Lack of competency**

Sometimes employees resist change because they don’t have required competencies as needed when and after the change is implemented. They don’t want to show their weaknesses that’s why they resist change. Sometimes they presume that their lack of competency may cost them their job.

iv) **Employees feel overloaded**

Sometimes the employees do not have sufficient time to engage with the change. They are not in the position to handle two things simultaneously i.e. handle change and carry their current responsibilities.

v) **Genuine objections**

Employees also resist change because they don’t share the value driving the change. They genuinely believe it is wrong to initiate change in the organisation and resist saving the organisation. They have genuine objections.

Apart from these there are four categories of different causes of resistance. They are;

- **Psychological**

Employees negative perception, frustration, anxiety, preference towards status quo, cognitive comfort, fear, past failure, cynicism or mistrust in top management/owner (Kreitner, 1992; Dubrin & Ireland, 1993; Val and Fuentes, 2003).

- **Materialistic**

Loss of pay, comfort, status, and threat to job security (Dent & Goldberg 1999).

- **Employees' constant capabilities**

Employee's skills (existing), knowledge, & expertise getting obsolete i.e. capabilities gap, embedded routines (Lawrence, 1986; Val and Fuentes, 2003).

- **Employees concern for firm**

Faults & weaknesses in change program i.e. change is not good for the firm or employees and management has difference/conflict of perceptions about change program and its effects (Dubrin & Ireland, 1993).

Kotter and Schlesinger have suggested **six (6) change approaches** to deal with the resistance to change:

i) **Education and Communication**

This approach is used, when resistance is the result of the lack of information or inaccurate information and analysis. In this case it is better to educate and communicate people who are going to be affected by the change. This helps employees to see the change effort in new light and not to entertain rumors about the change in the organisation.

ii) **Participation and Involvement**

This approach is useful when the changing authority does not have full information about the change. In this case it is better to involve the employees in the change process as it lowers the chances of resistance to change.

iii) **Facilitation and Support**

Sometimes people resist due to some adjustment problems like fear from the anticipated change. In these situations it is advised to the managers to support the staff fully and force them into the new situation so that they can understand that it is not as difficult as they presume. The support of the management helps employees to overcome their fear and anxiety. There must be provision for counseling, coaching and special training for the employees to handle the change effectively.

iv) **Negotiation and Agreement**

This method is useful when people fear of losing something due to change. In such conditions the manager offers some incentives to them. For this purpose the manager negotiates with the employees not to resist change.

v) **Manipulation and Co-option**

As Kotter and Schlesinger suggests that when any other approach does not work, an effective manipulation technique like co-opting those who resist. Co-option involves the patronising gesture in bringing a person into a change management-planning group only for the sake of appearances rather than their substantive contribution. As involvement of the leaders of the resisting group have only symbolic role to be played in decision-making process.

vi) **Explicit and Implicit Coercion**

This approach is used when it is essential to implement the change speedily. In such cases change is forced upon the employees by making clear that

resisting change may lead to losing jobs, firing, transferring or not promoting employees.

These six approaches help in identifying the types of resistances to change and how to overcome them. Sometimes the combination of these approaches is used to tackle with resistance.

John Kotter has mentioned eight reasons for the failure of the change processes. These are:

- Allowing too much complexity
- Failing to build a substantial coalition
- Not understanding the need for a clear vision
- Failing to clearly communicate the vision
- Permitting roadblocks against the vision
- Not planning and getting short-term wins
- Declaring victory too soon
- Not anchoring changes in the corporate culture.

Kotter suggested the following eight phase model to avoid these mistakes:



- Establish a sense of urgency
- Create a coalition
- Develop a clear vision
- Share the vision
- Empower people to clear obstacles
- Secure short-term wins
- Consolidate and keep moving
- Anchor the change.

Self Check Exercise

Note: i) Write your answer in the space given below

ii) Check your answer with answers given at the end of this Unit.

3) Describe the six approaches to deal with resistance to change

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- Points to remember**
- While introducing change it is very essential to show its need.
 - Communication is very essential in the change process.
 - People reactions to change are based on their past experiences and their perceptions of the change.
 - The three things equally important in the change management process are: People, Process and Technology.
 - While dealing with the resistance to change it is the responsibility of the manager to remove fear, uncertainty and doubt of the employees.

3.8 CHANGE MANAGEMENT IN LIBRARIES AND INFORMATION CENTRES

Like other organisations, library and information centres and other knowledge based organisations are facing the wave of changes. The main types of changes in these organisations are technological advances. Libraries are always pioneers in adopting any technology including information technology. Change from an existing setup to a new environment has its own set of problems and these increase when applied in service institutions like libraries. For example the tools and techniques that were suitable for traditional documents don't match for digital documents so a whole new approach needs to be developed to tackle the situation.

Since change is inevitable, certain provisions must be incorporated to adopt these changes. Rather it is an uphill task for the librarians, as on the one hand the librarians know that creativity, innovation and changes that are essential ingredients for continuous growth and development of the library. While on the other hand, the librarians are aware that the frequent revision of policies, practices and procedures might create havoc in a library operation. The onerous task for librarian is to create a stimulating climate for the growth and at the same time, maintain a substantial degree of stability. In order to effectuate this, a librarian must learn how to manage the changes. The intention of these changes is to know how to make better use of men, material and technology associated. Libraries must change because their users need them to change now. For libraries, the choice is clear, change now and be involved in inventing the future. Changes are unpredictable as far as libraries are concerned because they are really facing the challenges of technology. It has been noticed that college and university libraries are changing faster than other type of libraries. The main reasons for this are government policies regarding higher education and the rise of student-centered learning.

The following are clearly evident changes in libraries

- | | | |
|-----------|---|------------|
| Ownership | → | Access |
| Print | → | Digital |
| Catalogue | → | OPAC |
| Journals | → | E-Journals |

To be successful in the present century, the libraries have to be more proactive and more customer service oriented. It is time to re-evaluate service models that have functioned for years. Being prepared to manage changes can furnish us

with the ability to flourish. We should attempt to re-establish standards, criteria or benchmarks that are considered to be basic to quality library services. The main type of external changes in the library include:

- Technological Changes
- Economic Changes
- Strategic Changes
- Political and Social trends

There are some internal forces also which lead towards changes in libraries:

- User complaint or demand
- Recognition of a problem
- Staff attitude

It is seen that rigid management principles are not applicable in each and every type of organisation because of their complex nature and varied behaviour. It applies in the case with libraries. Libraries need to deal with conventional books and journals on one hand and electronic resources on the other. They have to deal with two types of users one who are comfortable with information communication technologies and other those who are not. That means dealing with extreme situations sometimes the user demands e-resources and sometimes electronic formats are being imposed upon the users without knowing about their choice. In relation to libraries change has been focussed on innovation in user experiences and expectations. In this context the role of the librarians is not just adapt change but to lead change and develop new paradigms.

As far as libraries are concerned resistance comes mainly from technical section because of the nature of work. Sometimes the libraries also appoint change agent to introduce changes in the libraries. Managing change in libraries is not just the task of senior librarians, but it is for all librarians as well as staff.

Need of Change Management in Libraries:

- The Change management process is not very effective in the libraries.
- The libraries as compared to others organisations are far behind in providing technological and qualitative services to the users.
- The facilities available at present are quite inadequate in libraries.
- The IT implementation in the academic libraries is still at its infancy which is the result of poor change management process in the libraries.

Steps to be followed while implementing the Change in Libraries:

- Make Decision (diagnose what needs to be changed)
- Conceptualise Change (Nature & Scope of Change, Right Time to introduce change)
- Prepare the library for change (Communicate about Change)
- Organise the planning group (Identify group and group leader)
- Plan the change (Vision, strategy, goals, objectives and deadline are decided)

- Implement the change (Change is formally introduced and controlling resistance is very important)
- Evaluate the change (If necessary make required adjustments)

Activity I
 Visit a library near to your place and collect details from library staff how change is implemented in that library. Also discuss about the problems involved in that phase.

3.9 SUMMARY

In this Unit we have learnt about the change and change management. We have also studied the forces and types of change as well as the process by which any change will happen. Change is not free from resistance or we may say any change or new idea is criticised or rejected first keeping this in view resistance to change is also discussed along with the strategies to cope up with this resistance. The main types of change affecting the libraries these days are also discussed and it is explained how to introduce changes in libraries. It is also discussed that the knowledge about change management is essential for the librarians, being managers of the library. These changes will create new challenges and opportunities for organisations and the libraries are not exceptions to this. No librarian can afford to ignore these changes. Instead of managing change as a series of events, a system wide approach has to be adopted. Change is a process that takes time and resources and that's why it must be carefully planned.

3.10 ANSWERS TO SELF CHECK EXERCISES

1) The difference between the two are as follows:

Organisational Change Management	Individual Change Management
i) It is related with the manager or top leader of the organisation.	i) It is related with the employee who is that the bottom level.
ii) It considers both processes and tools used by the manager in the change process.	ii) It focuses on tools and techniques that help employees during the transition.
iii) In it one manager deals with many during the change process.	iii) It is related with one-on-one pattern.
iv) The emphasis is on overall organisation.	iv) In it each individual is given emphasis

2) The main factors leading to change are:

- Competition
- Nature of work force
- Technology
- Economic factors
- Political and Social factors

- 3) The six approaches are suggested by Kotter and Schlesinger to deal with resistance to change are:
- Education and Communication
 - Participation and Involvement
 - Facilitation and Support
 - Negotiation and Agreement
 - Manipulation and Co-option
 - Explicit and implicit Coercion.

3.11 KEYWORDS

- Co-Option** : To invite someone to join an established group (e.g. a committee).
- Competency** : Necessary ability, authority, skill, knowledge, etc. to perform a work.
- Change Agent** : A collective term referring to any staff in an organisation or outside expert who acts as a catalyst and assists in the achievement of the smooth introduction and implementation of change.
- Environmental Forces** : The forces that are beyond the control of management and affects the organisation externally.
- Negotiation** : Discussion with an aim to reach a mutually acceptable agreement.
- Participation** : Take part/involve in an activity.
- Planned change** : A deliberate and systematic change.
- Technological Change** : Process of change in methods and requirements of organisation as new technologies succeed.

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UNIT 4 APPLICATION OF PRINCIPLES OF MANAGEMENT IN LIBRARY AND INFORMATION CENTRES

Structure

- 4.0 Objectives
- 4.1 Introduction
- 4.2 Library Management
- 4.3 Application of Elements and Principles of Management in Libraries and Information Centres
 - 4.3.1 POSDCORB in Libraries and Information Centres
 - 4.3.2 General Principles of Management in Libraries and Information Centres
- 4.4 Role of a Library Manager
- 4.5 Summary
- 4.6 Answers to Self Check Exercises
- 4.7 Keywords
- 4.8 References and Further Reading

4.0 OBJECTIVES

After reading this Unit, you will be able to:

- explain the purpose of the techniques of management in the management of library and information centres;
- highlight the importance of managerial functions/ elements, techniques and principles of management in libraries and information centre's management;
 - describe the use and application of modern management techniques in library and information centres management; and
- discuss the changing role of library managers and the skills needed by them in changing environment.

4.1 INTRODUCTION

From the discussion in the Unit 1 of this course, you have understood that management is the art of managing the organisation by applying principles and techniques of management. Similarly, library management is concerned with managing the resources of libraries i.e. men, machine and money and serving the users with effective products and services. Libraries are basically service-oriented and not-for-profit organisations. Therefore, their management is essentially the service management. Libraries monitor their performance and efficiency in terms of services, not by monetary gains as in case of business organisations. This service aspect and helping attitude of libraries must be kept in mind while planning and managing libraries and information centres.

4.2 LIBRARY MANAGEMENT

Basically, library management comprises of managing three, namely,

- Institutional Management (Library)
- Clients Management (Users), and
- Staff Management (Library Staff)

The main goal of a library is satisfaction of users/customers. Thus libraries are managed to provide customer centered services. In order to achieve results effectively and efficiently, various techniques of management are required to be applied in the management of libraries. A wide range of management techniques are available for use, but their usefulness depends upon their suitability in the given circumstances. The use of some of the managerial functions, principle and techniques of management in libraries are listed in Table 4.1.

Table 4.1: Use of Management Techniques in Libraries and Information Centres

Management Technique	Use in Library	Purpose Served
Financial Management	Cost Benefit Analysis	Adequate finance for the needs of the library.
Budgeting	PPBS, Zero Based Budgeting	For preparing performance oriented budgets in libraries. Helps in controlling, coordinating, communicating, performance evaluation and monitoring of libraries.
Change Management	Computerisation and Automation, etc.	For implementing need based changes.
Cost Benefit Analysis	Calculating and Determining Cost as well as benefits of Automation	To determine the cost value of automating the library.
Delphi Technique	Forecasting	For making good plans in library.
Human Relation	Relation with Users	Knowing ever changing needs of users.
Human Resource Management	Staffing, Selection and Appointment of Adequate and Trained Staff	Good library services and relation with users.
Job Analysis Job Evaluation Job Description	Staff Selection and Evaluation Motivation and Job Satisfaction Professional development and communication	Competent and highly motivated staff for providing library services as per the needs of the users.
Management by Objectives	Formulation and Achieving Goals	Helps in attaining goals of the library, evaluation of performance, participation of staff.

Management Information System	Decision Making	Good and faster decision making. Helps in monitoring and controlling.
Marketing	Information products and services; Market Research	For promoting use and sale, also enhancing e-marketing efforts. Better understanding of the target group so as to customise services as per their needs.
Motion and Time Study	Circulation Arrangement of Stacks, etc.	For speedy charging/discharging Using circulation statistics.
Work Study/ Measurement	Shelving, labelling, renewing, photocopying, etc.	To improve processes and procedures in Libraries.
Network Analysis	Planning and plan implementation	Helps in maintaining time schedules.
Operations Research	Designing information services	Helps in long term planning, e.g. library building planning, planning of information services, weeding policy, staffing, etc.
	Analysing user behaviour Document Delivery	To design such services. To provide effective services and build a good system of services. For planning, resource allocation and evaluating information services.
PERT/CPM	Services like CAS, SDI, Indexing and Abstracting and also in Technical processing unit	To provide these services in minimum possible time.
Project Management	Automating, Digitising, etc.	To handle big projects in Libraries.
SWOT Analysis	To know the strength, weakness, opportunities and threats related with the libraries	For effective functioning of the libraries.
System Analysis/ Approach	Analysing operations in a library Planning, designing, determining new requirements	Analysis of an Acquisition, Circulation system, Abstracting Service, etc. Study of library system and its improvement.
Total Quality Management/ Participative Management	Customer satisfaction Better customer oriented library services, decision making	Quality products and user oriented library services. Regular meeting with staff to know changing user needs.

Based on the above description it becomes clear that management principles and techniques are equally applicable and beneficial in library situations also. Management techniques that are applied in library management can be broadly grouped into the following five categories:

- Techniques related with library system,
- Techniques related with library operations,
- Techniques related with library services,
- Techniques related with library personnel, and
- Techniques related with library finance.

4.3 APPLICATION OF ELEMENTS AND PRINCIPLES OF MANAGEMENT IN LIBRARIES AND INFORMATION CENTRES

In Unit 1 of this Block, you had already studied elements (managerial functions) POSDCORB and principles of management. In this section a brief indication of how these are implemented in libraries and information centres.

4.3.1 POSDCORB in Libraries and Information Centres

The functions or seven elements of management are also applied in libraries in the following ways:

Planning

Planning is crucial for any organisation. In libraries planning are of the following type: Financial planning, Space planning – library building, Manpower planning - library staff, Resources planning – library collection and need assessment of users. Finance and manpower planning have direct implications on the efficient and effective management of information resources and services. As explained in Unit 1, though planning is an all-pervasive prime activity, the chief librarian has more planning responsibilities than her/his immediate subordinate, say deputy librarian and deputy librarian more than her/his subordinate assistant librarian.

Organising

Organising is the process of building structural framework of the organisation. “By the term library organisation we mean a system, by which departments and units of the library are controlled and coordinated, resulting in an administrative structure which includes fixed boundaries”(Khanna, 1997). Determining the structure of library is the responsibility of the top management. The structure of the library depends on its type. For example, line organisation may be a success for a small library and for large libraries functional structure is the best. This function of organisation should not be confused with another function of libraries, namely, organisation of information resources for their optimum utilisation by users.

Staffing

It is manpower planning which is related with recruiting competent staff, training of library staff and maintaining favourable condition of work for them in the library. For staff recruitment, there are norms that are to be followed by libraries.

Directing

This is the main function of a manager. It includes all guiding, leading, motivating, etc functions. For this purpose the library policies have to be established. As per the policies and goals, employees are directed towards the attainment of library goal.

Coordinating

It is the integration of all activities of an organisation. It brings harmony in the organisation. Coordinating function, inter-relates different divisions and works of the library for efficient working.

Reporting

Reporting is a means for chief librarian to inform the authorities about the progress and performance of the library. In public libraries it is a means of informing public about the functioning of the library.

Budgeting

Librarian prepares and presents financial needs of the library in a budget (discussed in Unit 10). Budget acts as an instrument of control. It is a part of financial planning and balancing between income and expenditure of the library. Being a service organisation, libraries have to balance between financial resources (discussed in Unit 9) and the expenditure. It involves preparing library budget (discussed in Unit 11) and maintaining accounts of the library.

4.3.2 General Principles of Management in Libraries and Information Centres

You have already studied general principles of management in libraries and information centres in the Unit 1 of this Block. Here, we are emphasising their use in libraries. These principles of management when applied to libraries can enhance routine efficiency of the library.

1) Division of Work

This principle implies that work will be divided according to specialisation. In small libraries usually there is no division of work as it is one man show because they are managed by one person. But, in large libraries division of work can be done by type of service or by type of material. Generally, the work in libraries is broadly divided into three types: technical, user and administrative work.

2) Authority and Responsibility

Authority and responsibility must go together. In library the ultimate responsibility is with the librarian. The librarian delegates authority to the subordinates (the next level managers) according to their ability, specialisation and the demands of the job/ work.

3) Discipline

This principle tells about the do's and don'ts in the organisation. This is the principle for creating 'organisation culture'. The principle helps in dissolving the disputes with justice and enforcing the penalties without prejudice. It is the duty of the librarian to maintain discipline among the staff in the library.

4) **Unity of Command**

“One boss” is the motto of this principle. Order from one senior does not create confusion among the staff. For example, if a librarian wants to communicate to a library assistant, s/he in normal condition has to communicate through the assistant librarian in charge of that section.

5) **Unity of Direction**

The message of this principle is “one plan one direction”. Coordination can be achieved through proper direction. All employees should be directed in achieving one goal. Unity of direction also eliminates duplication of work.

6) **Subordination of Individual Interest to General Interest**

This principle says give priority to organisational interest as against individual interest. Growth and development of the library and users satisfaction should be the main concern for everyone in the library.

7) **Remuneration of Personnel**

This is a well known fact that employees are motivated by the monetary benefit they receive and libraries should also take this into consideration and pay staff according to their work, qualification experience and responsibilities. In reality, often library personnel paid according to the type of library in which they work because the salary structures vary according to type of library.

8) **Centralisation**

Libraries generally follow this principle as there is centralisation of authority. But, as far as large libraries are concerned, decentralisation is also appropriate for their smooth functioning. For example, the works like document selection should be decentralised but ordering must be centralised to avoid unnecessary duplication in acquisition.

9) **Scalar Chain**

Scalar Chain means unbroken line of authority from top to bottom level. This line of authority serves as a means of communication within an organisation. Generally, the authority flows as depicted in the Fig 4.1 in large libraries.



Fig. 4.1: Scalar Chain in Libraries

10) **Order**

This principle says that relation between different units of the organisation is very essential. This principle is very useful for libraries as their work is not only inter-related but also inter-dependent. For example, the location of different sections of a library should be decided according to their inter-dependence.

11) **Equity**

This principle says treating everyone equally and fairly. There should be justice in dealing with employees. For this purpose rules should be followed while deciding wages, there should be clearly defined promotion policy, etc.

12) **Stability of Tenure of personal**

Fixed tenure or long period in a particular position in a library gives an employee enough experience to know that job properly. For example, if a person is working for a longer period in a technical section (doing cataloguing or classification), s/he will become an expert in doing the work as the nature of work in this section is technical and which requires proficiency.

13) **Initiative**

This principle says that initiatives should be encouraged. In libraries this principle will be applied in taking initiative towards helping users.

14) **Esprit De Corps**

This principle highlights the importance of team work. Library is a social organisation and library work is a group activity. All processes in the libraries depend upon each other from acquiring documents to maintaining. The below given Figure 4.2 shows how library works are inter-dependent in nature.

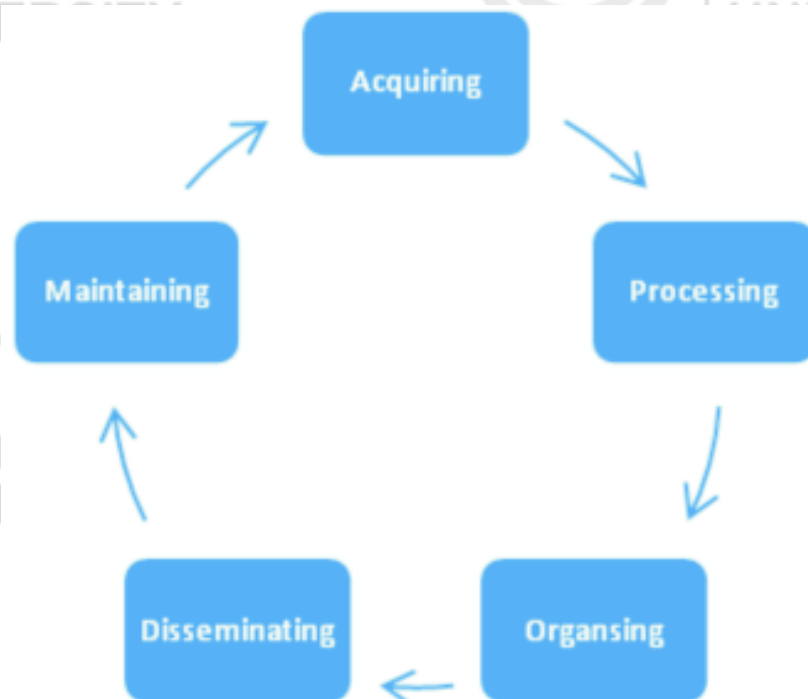


Fig. 4.2: Inter-dependence of Different Library Works

Self Check Exercise

Note: i) Write your answers in the space given below.

ii) Check your answers with the answers given at the end of this Unit.

1) Explain library management?

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.....
.....
.....

2) What do you mean by organising a Library?

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.....
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.....

4.4 ROLE OF A LIBRARY MANAGER

Earlier librarians are just considered as the custodian of books and it is said that for managing a library, no professional competencies are required. It is an old concept that libraries have fixed and hierarchical organisational structure, bureaucratic leadership, controlled and centralised decision making, command and control by the administration, guarded and infrequent communication, etc. Modern libraries require librarians to act like managers with appropriate management techniques and principles. A librarian manages a library like any other manager managing his organisation. Thus the role remains the same. Managing a library also requires basic skills as needed in case of any other commercial or industrial organisation. But libraries being service-oriented organisations, the necessity of general and managerial skills as core competencies of staff for effective management of libraries, flexible and decentralised organisation, with empowered staff having the spirit of team work, interpersonal communication, shared vision, lifelong learning, etc. are obvious.

Keeping these changes in mind it becomes essential for the library managers to have expertise and focus on the following areas of management:

- 1) Change Management
- 2) Entrepreneurship
- 3) Strategic Planning
- 4) User Centered Management
- 5) Management of Technology
- 6) Project Management

The following skills are required by the library staff:

- Library and information handling skills
- Service orientation
- ICT knowledge skills
- Communication and training skills
- Marketing and presentation skills
- Understanding of cultural diversity
- Knowledge mapping skills

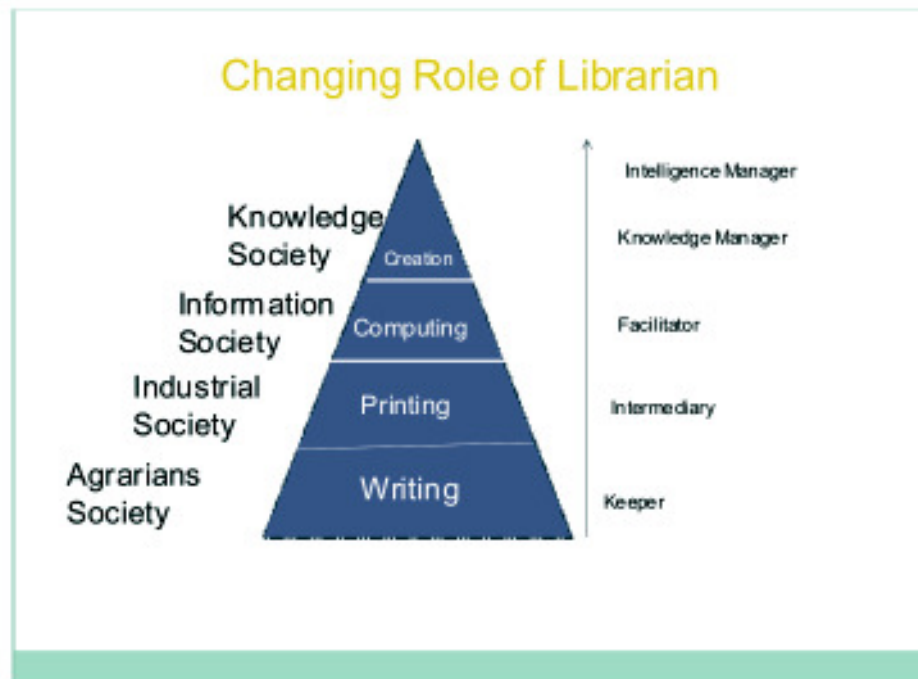


Fig. 4.3: Changing Role of Librarians

There are four major professional competencies required for a library manager to manage a library efficiently in the changing scenario:

- Managing Information Organisations
- Managing Information Resources
- Managing Information Services
- Applying Information Tools and Technologies

For the above mentioned major professional competencies, librarians should have the following qualities:

- Adaptability
- Skill and ability
- Self development
- Risk taking ability
- Leadership quality
- Decision making power

- Flexibility
- Creativity and acting as a change agent.

Self Check Exercise

Note: i) Write your answers in the space given below.

ii) Check your answers with the answers given at the end of this Unit.

3) What are the main skills required for library staff?

.....
.....
.....

4) What are the focused areas of management in the changing scenario?

.....
.....
.....

5) Explain the changing role of the library managers.

.....
.....
.....

6) Describe the competencies required by the library managers.

.....
.....
.....

4.5 SUMMARY

Library performs a central function in the educational process and in the development of the country. The library is essentially a service unit and its foundation lays on service ability towards users. Library work is an end product

of three basic functions – acquisition, organisation and service. The operations of libraries have become increasingly complex day-by-day because of the automation of libraries. These increasing organisational complexities make it extremely important for libraries to utilise management techniques for their operation and management. The management techniques are used in libraries with necessary modifications as libraries are non-profit and service oriented organisations. Librarians are library managers, they should have the knowledge of management concepts, theories and principles and their application in library situations. All social, technical and personnel skills are also required by library managers. The challenge in the present time is to nurture the libraries for posterity.

4.6 ANSWERS TO SELF CHECK EXERCISES

- 1) Library management is related with managing the resources of libraries i.e. men, machine, material and money, and based upon them serving the users with effective products and services. Libraries are service oriented and not-for-profit organisations so their management is more related with service management
- 2) Organising is the process of building structural framework of the organisation. “By the term library organisation we mean a system, by which departments and units of the library are controlled and coordinated, resulting in an administrative structure which includes fixed boundaries”(Khanna, 1997). Determining the structure of library is the responsibility of the top management. The structure of the library depends on its type. For example line organisation may be a success for a small library and for large libraries functional structure is the best. Similarly, organisation of the resources of the library for efficient and effective use of its resources by the users is also important.
- 3) The main skills required by the library staff:
 - Library and information handling skills
 - Service orientation
 - ICT knowledge skills
 - Communication and training skills
 - Marketing and presentation skills
 - Understanding of cultural diversity
 - Knowledge mapping skills.
- 4) The main focus is on the following areas of management:
 - Change Management
 - Entrepreneurship
 - Strategic Planning
 - User Centered Management
 - Management of Technology
 - Project Management.

- 5) Earlier librarians are just considered as the custodian of books and it is said that for managing a library, no professional competencies are required. It is an old concept that libraries have fixed and hierarchical organisational structure, bureaucratic leadership, controlled and centralised decision making, command and control by the administration, guarded and infrequent communication, etc. Modern libraries require librarians to act like managers with appropriate management techniques and principles. A librarian manages a library like any other manager managing his organisation. Thus the role remains the same. Managing a library also requires basic skills as needed in case of any other commercial or industrial organisation. But libraries being service-oriented organisations, the necessity of general and managerial skills as core competencies of staff for effective management of libraries, flexible and decentralised organisation, with empowered staff having the spirit of team work, interpersonal communication, shared vision, lifelong learning, etc. are obvious.
- 6) There are four major professional competencies required for a library manager to manage a library efficiently in the changing scenario:
- Managing Information Organisations
 - Managing Information Resources
 - Managing Information Services
 - Applying Information Tools and Technologies.

4.7 KEYWORDS

- Management** : It is the art of managing men, machine and money as well as achieving the pre-decided goals of the organisation.
- Library Manager** : A person who looks after the smooth functioning of the library and generally known as librarian.
- Management Technique** : A wide range of techniques are there for easy and effective operation of any organisation they are known as management techniques.
- Participative Management** : A type of management which implies participation of employees at all level.
- Skills** : Qualities required by a person to perform some specific task.
- System** : A set of different subsystems.

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BLOCK 2 LIBRARY FUNCTIONS AND OPERATIONS

Introduction

This Block deals with routines and fundamentals of librarianship. There are five units devoted respectively to basic housekeeping operations, physical infrastructure, maintenance of library including preservation and disaster management. **Unit 5** entitled “Basic Housekeeping Operations” the main emphasis of this unit is on acquisition of sources.

Sources acquired by a library need certain processing before they are released for use. The **Unit 6** deals with all these aspects. The Unit also deals with *circulation section* of libraries and enumerates major functions of charging and discharging of materials, regulating/ controlling the system with reservation, renewal and recall, maintaining records of use of books.

Unit 7 is mainly concerned with planning and building physical infrastructure in general and library building and furniture in particular. Building is required to provide space not only for users, but also for stacking resources and for library staff to work and deliver services to customers. The frequent occurrences of various disasters have now necessitated adequate provision for preventive measures and need for insurance as an essential part of library building maintenance.

Unit 8 discusses maintenance and preservation of library materials. The causes of deterioration of library material are both internal as well as external. Various preventive measures have been suggested to check the deterioration and damage to library resources. Maintenance of library material is an important activity of library under overall collection management. Without maintenance of materials in an orderly manner, identification of required book by users shall become a daunting job. Library stock verification is yet another activity of collection management. Therefore the Unit also discusses these aspects in detail.

Lastly, **Unit 9** exclusively discusses the disaster management. Disasters are disruption or damage to the library by natural factors such as flood or earthquake or due to negligence or deliberate action of human beings such as war, arson and theft. Man-made disasters can be prevented and natural disasters have to be courageously faced with meticulous planning to mitigate the situation. Disaster management has now become an integral part of library management. This Unit gives you history of disasters, causes of disasters, national and international awareness about disasters, planning disaster-management and preventive security measures.

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UNIT 5 BASIC HOUSEKEEPING OPERATIONS PART-1

Structure

- 5.0 Objectives
- 5.1 Introduction
- 5.2 Acquisition Process
 - 5.2.1 Acquisition of Documents
 - 5.2.2 Selection Principles
 - 5.2.3 Selection Tools
 - 5.2.4 Financial Resources for Acquisition
 - 5.2.5 Personnel for Selection of Sources
 - 5.2.6 Ordering Processes
- 5.3 Problems in Acquisition of Sources
- 5.4 Document Procurement Methods
 - 5.4.1 Acquisition through Monetary Payment
 - 5.4.2 Acquisition through Payment in Kind
 - 5.4.3 Acquisition through Gift, Donation and Deposit
 - 5.4.4 Free Access to Electronic Sources
- 5.5 Accession Routines
 - 5.5.1 Accession Policy
 - 5.5.2 Administrative Functions of Accession Record
 - 5.5.3 Procedure for Accession of Document
- 5.6 Acquisition of Serials
- 5.7 Summary
- 5.8 Answers to Self Check Exercises
- 5.9 Keywords
- 5.10 References and Further Reading

5.0 OBJECTIVES

Acquisition of resources is one of the main functions of a library. The routine begins with selection of resources as per needs, selection of supplier, preparation of indent and placing order, receipt of the consignment and entering the materials received in a register or in the relevant module of the computer file. It requires much expertise and knowledge about the market for resources, as well as terms and conditions of supply. Care is also required to avoid duplication and not to order what is not needed.

After reading this Unit, you will be able to:

- describe the process of preparing indent and placing order;
- explain the criteria for selection of supplier;
- describe the various methods available for acquisition; and
- highlight accession of material and the administrative functions of accession record.

5.1 INTRODUCTION

Libraries acquire information sources in the form of books, serials and electronic publications, organise them in a systematic manner for use, with provision for their management including their preservation. In order to maintain the collection that is relevant to the needs of the user community, the collection is replenished with addition of publications containing new ideas as they become available in the market. Procurement of information sources or acquisition therefore holds a place of central importance in libraries. The basic elements of the acquisition process are, determining what information resources are needed, identifying the appropriate items for acquisition from sources of selection, acquiring the items and adding the same to the existing stock through entering them in a stock register called accession register.

Till the third decade of the 20th century, library collection normally comprised only books, both printed and hand written called manuscript. Private papers of eminent personalities, and official records, court documents, etc. were the concern of archives. Microfilms joined library collection first, to change the character of collection, followed by audio-visuals and then by electronic publications, both online and offline. With the arrival of the electronic sources the structure and operations of the acquisition unit underwent a major change. The routines of the acquisition section now required input from persons not only from acquisition section but even persons from outside the library with technological as well as legal knowledge.

Changing Scenario of Acquisition

Increasing share of electronic publications in library collection has brought change in acquisition routines in libraries. Electronic publications are different in character from printed monographs in many respects. The most important difference is that these are not acquired but only granted license for right of access to the information. Further, the right can be exercised only if the library has compatible hardware for it. Electronic publications first appeared in the form of CD-ROM. With the advent of Internet the situation underwent sea change. The Web based information communication facility has dispensed with the need to mount the database on a central computer. But now the right to access to the content has become more complicated. The databases have more than one price models depending upon the number of users, the place of access, the time span/ period for access, the category of users, the right to take print out or download, etc. These details are covered under the terms of a license and are subject to negotiation. The access right, in case of periodicals is only for the subscription period. Once the subscription is over the library loses the right of access to the database even for the period for which it had paid subscription. The library has to find out before subscription, the archiving facility of the e-journal. These complications call for decision for acquisition or access to be taken not by librarian alone or in consultation with colleagues in the library but by a group of people comprising subject expert, reference librarian, and technology expert for understanding the needed hardware, etc.

The access cost also has shot up and smaller libraries are finding it difficult to provide their users the services with latest information. Faced with the steep rise in subscription to electronic sources in 1990s libraries thought of developing

cooperative arrangement for subscription to databases. The idea was to avoid duplication in subscription in the same area. But with the emergence of the Web, the virtual literature could also be shared, this gave birth to cooperative acquisition, called consortium. According to Glenda A. Thornton “consortia provide three basic functions: sharing of physical resources, providing connections to Internet and the www and providing access to electronic resources. Consortia are able to obtain more favorable pricing for products than an individual library can get; greater access to core materials for smaller libraries within the group; improved level of service and convenience to users previously excluded from access to expensive resources”.

5.2 ACQUISITION PROCESS

The process of acquisition of a library comprises of the following:

- ascertaining the needs of the users,
- selection of the documents,
- procurement of the documents,
- accessioning of the documents.

In organising its routines the objectives before the Acquisition section are to:

- acquire material as quickly as possible,
- maintain high level of accuracy at all levels of procedure,
- the work process simple to achieve the lowest possible unit cost,
- develop working relationships with other library units and also with vendors.

Self Check Exercise

Note: i) Write your answers in the space given below.

ii) Check your answers with the answers given at the end of this Unit.

1) Describe in brief the impact of electronic publications on acquisition.

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2) State the objectives of the acquisition section of a library.

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5.2.1 Acquisition of Documents

Acquisition function is performed by libraries to satisfy the information needs of library users. The job of this section is to identify the users' needs, and the sources appropriate for satisfying the needs. The documents suitable for the function are identified in the selection tools, the sources are selected and acquired with the finance made available for the purpose. The libraries fall under three broad categories; academic, public and special library. Users needs are affected by the category of library where the user is looking for the information. To ascertain the information needs of user group two methods, Direct Method and Indirect Method are available.

Direct Method of collecting information on users need includes:

- interview of the users,
- through circulation of questionnaire among the users,
- through suggestions, in writing, received from users.

Indirect Method includes study of:

- goals and mission of the parent body,
- courses of study and research areas and projects,
- records at reference desk about information and references sought,
- research scholars profiles,
- history culture and literatures of the user community,
- circulation and reading room records, and
- subject wise core lists in various disciplines.

Under indirect methods, some studies are specific to a particular category of library. For example study of history and culture is more relevant to public library users, while study of research profile is relevant to academic and special libraries.

5.2.2 Selection Principles

Selection principles have been evolved which serve as guides for selecting documents for library. The followings are some well known principles:

Drury's Principles: Drury described his principles in his book, *Book Selection*, published by ALA in 1930. It is a list of 21 points. The gist of his principles is that the aim of selection should be "to provide the right book to the right reader at the right time".

Dewey's Principles: Melvil Dewey suggested that in selecting document the librarian should see that the document is "the best reading for the largest number at the least cost".

Ranganathan's Principles: According to Dr. S.R. Ranganathan, documents fall under three categories: documents which are of basic or of primary interest to the users; documents which may be required, at one time or other, to supplement the basic documents, and documents which are of no relevance to the primary area of work. The first category is called *umbral* documents, the second is called *penumbral* documents and the third is called *alien* documents. The library should

make comprehensive collection of umbral documents, selective acquisition of penumbral documents and depend on other libraries for satisfying needs for documents of alien nature.

Selection of sources is a very delicate issue and involves decisions which often are termed as personal bias. However, theoretically the job is a team work and the team is comprised of library staff, members of user community and the library authority. The relative role of the three is determined by the nature of library. In public library the authorities play a dominant role, while in academic library it is the user community which finalises the resource selected for acquisition. In actual practice however it is librarian with his regular contact with the user community, and with knowledge of available resources in the market who plays the main role in collection building. Selection is part of overall collection management process and must be viewed in this perspective and requires professional competence which develops by regular study of literature concerning the principles and practices of collection management, selection methods, publishing trend, reviewing media and acquisition practices.

5.2.3 Selection Tools

Selection tools are an important category of documents which are kept at hand in the acquisition section. These are regularly updated by addition of new tools as and when they become available. These are available, both for print and e-sources.

Categories of Selection Tools

Sl. No.	Sources for Selection of New Titles	Examples
1	Publishers Catalogues /Book Sellers Catalogue	<ul style="list-style-type: none"> • <i>Current Catalogs: Macmillan</i> • <i>Catalogue of Oxford University Press</i>
2	Book Trade Journals	<ul style="list-style-type: none"> • <i>Publisher Weekly</i> • <i>Bookseller</i>
3	Book Reviewing Journals	<ul style="list-style-type: none"> • <i>Book Review Literary Trust (New Delhi)</i> • <i>Times Literary Supplement (TLS) (London)</i>
4	Abstracting Journals	<i>International Political Science Abstracts</i>
5	National Bibliographies	<ul style="list-style-type: none"> • <i>Indian National Bibliography (INB)</i> • <i>British National Bibliography (BNB)</i>
6	Survey Type Bibliographies	<i>Unesco International Bibliography of the Social Sciences :Economics</i>
7	Serials Directory	<ul style="list-style-type: none"> • <i>Ulrich's International Periodicals Directory</i>

		<ul style="list-style-type: none"> • <i>Union List of Serials in Libraries of the United States and Canada</i>
8	Bibliographies of Basic Books	McClung, P. A. <i>Selection of Library Materials in the Humanities, Social Sciences and Sciences, ALA, 1985.</i>
9	Sources for Bibliographic Verification	<ul style="list-style-type: none"> • <i>Books in Print</i> • <i>Indian Books in Print</i>
10	Printed Catalogues of Major Libraries	<ul style="list-style-type: none"> • <i>Library of Congress National Union Catalogue</i> • <i>The British Library General Catalogue of Printed Books. London, Bingley, 1980-87. 360 volumes.</i> • <i>India, National Library. Author Catalogue of Printed Books in European Languages. Calcutta, The National Library, 1953. 10 v.</i>
11	Electronic Sources	<ul style="list-style-type: none"> • <i>Library of Congress CSD Alert Service</i> • <i>Association of Research Libraries: Directory of Electronic Journals, News Letters and Academic Discussion Lists</i> • <i>Lexis-Nexis, EBSCO</i> • <i>Gale Directory of Databases</i>
12	Publishers and Book sellers Directory	<i>All India Book Trade Directory</i>

5.2.4 Financial Resources for Acquisition

Financial resources for acquisition are sanctioned to library by the Library Authority. But the proposal for the budgetary requirement normally originates from the library. Staff at reference desk, reading room and serials section keeps recording unfulfilled information demands/requirements and suggestions of the user community. Suggestions from users are a regular phenomenon; seminars and conferences also serve as a source for collecting information about possible requirements for resources. In this way libraries have a database. The budget proposal based on the need is prepared in two parts:

- i) Overall amount required for a year, and
- ii) Department wise/subject wise allocation of total amount. The calculation begins with
 - a) Previous year's actual expenditure,
 - b) Provision for inflation rate,
 - c) Provision for new courses proposed to be launched in the new session, proposal for a new extension service, need for an additional branch, etc.

- d) Provision for upward revision in subscription rates of certain serial publications or addition of new titles for subscription,
- e) Provision for addition of electronic publications.

Budget preparation poses problem when we add electronic materials in the acquisition list. There are more than one pricing models for e-resources depending on the terms of license and provision for archiving of e-resources, etc. Further these terms are negotiable. Similarly preparing estimate for serial subscription also poses problems. In case of renewal one has to check the new rates. In case of cancellation of a title in view of its access as e-resource, one has to be sure about existence of archiving facility for the electronic material. Evaluation of electronic sources is another vexing problem area.

Department wise allocation is proposed, taking into account number of courses in departments, size of students and teachers, average price of publication in the subject, ratio between monographs and serials needed in a subject, past utilisation position in the department, and age of the department i.e. whether the department is old one or has been setup recently. There should be a separate provision in budget for general or multidisciplinary area. Similarly some amount should be provided for acquisition of reference material.

Accounting of Sanctioned Budget

Proper utilisation of budget is an essential requirement of financial administration of the library. Accounting helps library keep track of expenditure under each head, ensures against misappropriation and maladjustment and alerts heads of various departments about over or under expenditure in their subject. It also helps library against duplicate payment to any firm. The following registers are maintained for accounting purposes:

- General invoice register,
- Accounts register, and
- Monthly statements of expenditure register.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with the answers given at the end of this Unit.

3) State the points to be considered while preparing budget estimate for Acquisition section.

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5.2.5 Personnel for Selection of Sources

Clayton and Gorman have identified following specific qualities in the person responsible for selection work.

The person doing selection work:

- Must have an intimate knowledge of the library's purpose its collections and its user group,
- Should have developed a sound understanding of how the publishing industry and the book trade operate including how library material of all types and in all formats are generated, distributed and sold,
 - Should be fully familiar with the publishing policies, advertising media, publicity outlets, names of senior editors and general reliability of those publishers whose lists are more relevant to the library's collection management requirement,
 - Should become fully familiar with the key reviewing media and should read reviews regularly to get critical opinions on books, etc.,
 - Should be fully aware of trade and national bibliographies and their equivalent online sources, and become fully aware of their strength and weaknesses,
 - Should always be prepared to make well-informed, independent judgments regarding selection of materials for one's library.

5.2.6 Ordering Processes

Ordering process in manual system includes three routines; pre-order work, placing of order and receipt of supply.

Pre-order work

All the selection cards/slips for items which have been identified for placing order are checked:

- For accuracy bibliographical details and filling up missing bibliographical details filled up,
- For duplication with records of books on order, books received and awaiting accession and materials available in the library in print as well as in electronic form,
- For confirmation, if a duplicate copy is really needed although a copy is already available.

Order work

Before forwarding order must be checked for correctness of information of ordered items, in respect of:

- clarification on terms and conditions of supply,
- clarification on mode of dispatch of consignment by supplier,
- any specific requirement in invoice, etc. These precautions assume double importance in case of serials.

Receipt of Consignment

The first job on receipt is to check the consignment for:

- Correct delivery, for identifying defective copy in consignment and for duplicate or short supply.

- Missing pages/issues (It is more important in case of serials where unless prompt action is taken the missing issue may not be replaced).

The next job is accession/registration (in case of periodical issue), in relevant records materials received from the suppliers. This has been explained under accession routines.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with the answers given at the end of this Unit.

4) Describe the routines of ordering process.

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5.3 PROBLEMS IN ACQUISITION OF SOURCES

Demand, supply and finance are the three major factors governing acquisition work. Each one of these has its important role in decision making for acquisition. In the case of assessing demand the librarian has to make a distinction between want and demand or the need of the library in broader perspective of the library's requirements. The library is granted a specified amount for acquisition. The budgetary provision has rarely been a match to the needs for resources for the library. The unpredictability of the price trend in the book market and the unforeseen needs for resources which always come in the way and create funds problem are some issues which need resolution.

Problems in Acquisition of Sources

A) Common Problems

- i) Constraints of Financial Resources
- ii) Selection of Suppliers
 - Publishers vs. Agents
 - Independent Orders vs. Order through Consortium
 - On line Booksellers

B) Problems Specific to Indian libraries

- Indian book market
- Acquisition of Foreign publications
- Acquisition of Indian publications

C) Terms and Conditions of Supply

A) Common Problems

i) Constraints of Financial Resources

Funds available to libraries for acquisition have been a major constraint all over the world. One reason is the unpredictability of exact nature of the demand for the sources. In the middle of the year a new proposal pops up, marked most urgent, and the balance in budget is lost. One can only assess the needs and average cost of the required material which may often be different and on the higher side in actual case. The allocated amount based on the proposal worked out on current prices is static whereas prices keep on increasing. Apart from these reasons the library budget is the softest target for slashing downward in periods of financial crisis in the parent body. The budget is also affected if the country's exchange rate *vis-a-vis* foreign currency dips downward.

ii) Selection of Suppliers

A successful plan of acquisition is dependent upon selection of resourceful and dependable team of suppliers. In certain cases payments to suppliers are to be made in advance e.g. official publications, periodical subscriptions, etc. The library must ensure credibility of the firms before advance payment is made. Credibility is the sum total of resourcefulness, efficiency in execution of order and evidence of fair dealing by the firm. In case of e-resources an additional dimension is availability in the firm staff capable of assistance to the library to resolve issues of compatibility and accessibility to the data. Speed and percentage of items supplied out of ordered items are also taken into consideration. The library has, in many cases, to choose in placing order for books/subscription for periodicals, between a publisher and agent/supplier. Both parties have their plus and minus points. In taking decision the library may opt one firm as the major supplier and supplement others for the remaining purchases. The best course would be to have a mix of sources for its acquisition of needed documents.

a) Choice between Publishers and Agents/Suppliers

Advantages of direct dealing with publishers

- Supply is fast and also economical as there is no commission for intermediaries.
- Replacement of missing item or defective items is prompt.
- Advance payment, if any, is relatively safer.
- Evaluation of quality of e-resources is easy as statistics about number of hits are available.
- Problem of interruption in access to data base is resolved quickly with access to technical consultant at the publishing firm and access to back issues of periodicals is available on the server of subscribed titles.
- Some publishers don't work through agents.
- Problems of e-resources about various permutations in licensing terms for access to suit individual needs are easily resolved.
- Need for adding additional titles in the existing subscription lists, for multiyear contract, or for contract with a fixed inflation rate are favorably considered.

Disadvantages of direct dealing with publishers

Direct dealing with publishers is not all benefits only. There are many a problems that the libraries face if they deal directly with publishers for acquisition of sources. Some of these are as follows:

- Library will have to deal with more than one publishers giving rise to more file work, more correspondence, more staff time and more expenditure on postage, etc.
- Agents give bulk business to a publisher and therefore get priority in attention over libraries.
- In case of problems arising in e-resources, the staff will have to deal with various publishers.
- Often publishers have their own search engines and controlled vocabulary and service staff will have to work with each one of them.
- As individual customer library will have less leverage in negotiating terms of license for access.

Advantages of dealing with agents/suppliers

In view of these problems library find it much convenient to process orders for monograph as well as periodicals and databases through an agent. Besides, there are many more plus points in favor of processing orders through an agent.

- Dealing with one point leads to saving in staff time, expenses on postage and cartage.
- Since agents provide business on behalf of more customers they get prompt response from publishers for any problem which they pass on to their clientele.
- Due to better market knowledge agents can give efficient service in processing rush orders.
- As bulk order provider they are in strong position in securing better terms for license agreement for e-resources.
- Over the years agents build up various types of information on databases and provide information on renewal, change in subscription rates, bibliographic information on periodicals, URL and various pricing models and thus help in selecting new serial titles.
- Advance information about likely changes in subscription rates provided by agents helps libraries in adjusting their serial's budget.
- Now a day's agent also attend professional conferences and in this way develop better understanding about organising their services to libraries.
- Some agents/suppliers specialise in periodical subscription work and therefore many libraries prefer to subscribe periodicals through agent only.

Disadvantages of acquisition through agent/ suppliers

- Agents while renewing periodical subscription raise bills at old rates and subsequently raise supplementary bill. This raises problem of adjustment in library budget.

- Information about non-receipt of an issue or receipt of defective copy of a book, often reaches the publisher late after the lapse of stipulated time resulting in non-replacement of the same.
- Failure of agents business puts library advance payment often in jeopardy.
- Midway change of agent creates many problems for the library in restoring access to the e-resources:
 - i) Library has to clarify to the publisher that it is only change of agent and not a new subscription requiring fresh negotiation for license.
 - ii) It may result into losing a few issues of the journal/access to the databases.
 - iii) The library will need subscription number and other data from the former agent to provide it to the new agent or to the publisher.
 - iv) In case of change of agent, the library loses use statistics for e-resources as the same is not available with the new agent.
- Agents are often reluctant to supply 'no discount' or 'short discount' books.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with the answers given at the end of this Unit.

5) List advantages of acquisition through agents.

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b) Consortium vs. Independent Acquisition

Consortium is a form of cooperative arrangement for acquisition of e-resources emerged in wake of steep rise in rates of periodical subscription towards the closing years of the last century. By routing subscription through consortium, libraries get access to greater number of sources. Through consortium they get:

- More leverage in negotiation about terms of license.
- Offer of improved service to their clientele, as they get access to more resources and better support services.

However consortium often poses problems for individual libraries. The libraries have often to accept sources of marginal value to their own clientele at the cost of sources of more local importance. Yet another problem in joining consortium is that considerable portion of budget becomes committed to consortium, leaving the library with limited fund to meet its local needs. Databases purchased through consortia often lack consistency in depth, breadth or extent of full text coverage.

c) Online Booksellers

Digitisation of already published titles has thrown up a new breed of suppliers called online suppliers. *Amazon. Com.* is one of the most well known firms in

this category. In countries where libraries have corporate credit card can deal with such firms. However the libraries must know that some online suppliers are only virtual shop keepers. They are and not stockiest of digital collection. Online purchase also creates problem of maintaining expenditure record to avoid over expenditure.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with the answers given at the end of this Unit.

6) State benefits and problems of acquisition through consortium.

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B) Problems Specific to Indian Libraries

i) Book Market

a) Far-Off Book Markets

India is a vast country. But all areas are not equally developed with respect to book markets. Major publishers and stockiest are concentrated in a few metropolitan cities. Libraries face major problem in getting prompt information about new publications and receipt of consignment of books ordered to Indian or Foreign publishers. The problem is greatly eased with the Internet and e-resources.

b) Problem of Trade Discount

Unlike foreign countries in India there is no agreement between the book trade and the library associations about uniform trade discount resulting into variation in rates and thereby creating:

- distrust among authorities towards librarians, and
- potential situation of acquisition of unwanted materials in libraries.

ii) Problem of Acquiring Foreign (Non-English) Language Publications

Libraries building up collection in European and Asian language books face real problem as there are hardly any stockiest dealing in these languages. Most of the European and Asian suppliers demand advance payment. Arranging for advance payment is a cumbersome and risky process which few librarians take courage to follow.

iii) Acquisition of Indian publications

a) Problem with Central and State Government Publications

Selection tools for Central and State government publications are not available on time. The Government Publications departments are yet to organise their sales system on professional lines.

b) Problem of Indian Language Publications

Indian Language publishers have not succeeded in bringing out college level books in social sciences, humanities and sciences. Libraries acquire books mostly in English language which remain unutilised. Language publications create selection problem due to non-availability of selection tools staff.

c) Problem of Indian Periodical Publications

Acquisition of Indian periodicals presents serious problem due to non availability of directory of periodicals on regular basis. Those few which are available are outdated. These were compiled more as an academic effort by librarians than a commercial effort.

d) Out-of-Print Book Problem

There are few firms dealing in out-of-print books. Even those few who specialise in supply of old books are more interested in stocking books of art or only rare books. General books not available in publishers' stock are difficult to acquire from these dealers.

Self Check Exercise

- Note: i) Write your answer in the space given below.
 - ii) Check your answer with the answers given at end of this Unit.
- 7) State problems specific to Indian libraries.

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C) Terms and Conditions of Supply

Negotiation about terms and conditions of supply is another area that needs attention in deciding about the suppliers for the library. In case of printed sources points of negotiations are:

- i) trade discount,
- ii) foreign exchange conversion rates, and
- iii) conditions of supply.

In case of electronic sources whether offline or online, the agreement involves very elaborate description and calls for negotiation which need help from legal and technology experts.

i) Trade Discount

Printed materials excluding periodicals are supplied to libraries at a discount over printed price. In most of the Western countries where library associations and publishers and booksellers associations are well organised, the two have negotiated a discount rate which is followed by libraries all over the country.

In England, for example, is the Net Book Agreement Instrument signed in 1929 (revised in 1933) by the Library Association, the Publisher Association and the Association of Booksellers of Great Britain and Ireland.

In our country in the eighties of the last century when the country was facing foreign exchange crisis, bank rates for foreign currencies had become very volatile. To help the situation the ILA (under the president ship of shri D.R.Kalia) sponsored a Good Offices Committee composed of library and trade representatives and nominees of the UGC and the Ministry of Finance. The Committee used to meet normally once in a month to decide exchange rates as well as discount rates. These were followed by most of the libraries in the country. In course of time the situation of foreign exchange improved and became more stable. At around this time certain objections were raised against the UGC and The Ministry of Finance officials taking part in a purely business matter and they withdrew from the Committee. Their withdrawal from the Committee lost its effectiveness and gradually it became defunct as far as the decision regarding discount rate was concerned. In Delhi itself the two older universities are following two different rates of discount. The Delhi University has fixed 15% discount on all books and 30% for books published three years back excluding rare books or books acquired on firm order. In Jamia Millia Islamia a uniform rate of 25% has been fixed by the authorities. The Government libraries are purchasing books on 10% for foreign books and 15% for Indian publications. This has given rise to a situation of total disarray about discount rates to libraries in the country.

ii) **Foreign Currency Exchange Rate**

With improvement in foreign exchange position it has ceased to be an issue for decision. The bank rates prevailing on the bill date are the norms on which exchange rates are determined.

iii) **Conditions of Supply**

Conditions of supply include the latest edition of the items supplied, its physical condition, the timely supply, willingness to replace defective copy, correct publisher price, etc. Normally these are part of the ethics of trade and generally no written agreement is signed for these. But acquisition of material where advance payment is involved such as subscription of periodicals, and/or online electronic sources, a written agreement is essential. Such agreements spell all the various responsibilities that both the parties have to take regarding receipt and supply of the document. The agreement for accessing online sources includes the following details:

- Number and category of person to be allowed access,
- time period for access, place from where access is permitted,
- archiving facility for the sources for which payments have been made and when subscription has been cancelled,
- extent of software hardware documentation,
- provision of updating if data is in CD, and
- Clarification on copyright.

Self Check Exercise

- Note:** i) Write your answer in the space given below.
ii) Check your answer with the answers given at the end of this Unit.
- 8) Give brief account of terms and conditions of supply.

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5.4 DOCUMENT PROCUREMENT METHODS

Libraries procure documents through various means. We may group these means into two broad categories: a) Acquisition through payment, and b) Acquisition without making payment. Acquisition through payment can be further grouped under monetary payment and payment made in kind.

- 1) Acquisition through Monetary Payment
 - i) Standing vendor method,
 - ii) Books on approval method,
 - iii) Regular order to publisher/agent/open purchase,
 - iv) Standing order method,
 - v) Blanket order method,
 - vi) Tender system, Quotation method and Dealer Library Plan.
- 2) Acquisition through Payment in Kind
 - i) Acquisition under Institutional Membership.
 - ii) Acquisition under Exchange Arrangement.
- 3) Acquisition through Gift, Donation and Deposit
- 4) Free Access Electronic Sources

5.4.1 Acquisition through Monetary Payment

i) Standing vendor

Under the method the library selects one or two firms for a given period to supply all its requirements. The selection is done after inviting quotations through a tender containing the terms and conditions for supply. The firm offering the most favourable terms is approved for the specified period. All needed resources are acquired through the firm. Often clever firms out bid others by offering maximum rate of discount and get approved. In actual practice the firms fail to supply short-discount, no-discount and other books which involve more effort in procurement. The system is therefore not helpful for major libraries in building up its collection.

The system is however liked because it saves library from much file work. Further the firm develops understanding of the needs of the library and goes out of way to meet its requirements. Such arrangement is more appropriate for libraries of research institutes with limited area of their information needs.

ii) **Books on Approval**

Under approval method local firms are encouraged to bring books to library from new consignments on a fixed day in the month or week and leave them with the library/selection authority on approval. It gives library opportunity to invite persons authorised for selection for close look in the books and identify those appropriate for their subjects. The library is saved from selecting books from printed catalogues and preparing list for approval by the subject expert. It also helps library getting books promptly. But the system can function successfully only in metropolitan cities with good number of stockiest and publishers. Publishers are reluctant to send books on approval and prefer to supply only against firm order. However local publisher cum stockiest may agree to this method. In book fairs usually there is more than one spot buyer for the same book, and booksellers/publishers are reluctant to take risk of sending books on approval as against counter sale.

iii) **Direct order to Publisher**

Acquisition through direct order to publishers is the most important method for building up collection. The library prepares its list of requirement from publishers catalogues and after approval of the appropriate authority places order direct to publishers. Books are received more promptly especially foreign books which, may reach with much delay if ordered through an agent. The method involves more file work. Problem in acquisition from foreign publishers arises during crisis in foreign exchange when library has to acquire an import license. Direct method is also used in making purchase during book fairs when most of the major publishers bring their stock in the fair. Librarians come along with members of the Book Selection Committee for each faculty/public library and decisions for purchase are taken on the spot.

iv) **Standing Order**

Standing order method is used to acquire publications under the following categories:

- i) Books published under a series with regular interval,
- ii) Multivolume books where each volume is published with time lag,
- iii) Books published in parts till such time all the parts are complete.

Payments for standing order are made on receipt of material only and order automatically gets cancelled once supply of all the volumes has been received.

v) **Blanket Order**

Libraries which plan to build up collection on a given geographical area or on a given subject discipline, resort to blanket order method. Under the system publishers or stockists in an area or subject are given blanket order to supply all publications to the library as and when these are published. A

few years back certain American libraries had authorised the Library of Congress, Delhi office, to purchase all books on certain subject because no American stockist was dealing on these subjects.

vi) **Tender System, Quotation Method and Dealer Library Plan**

These are also some times mentioned as procurement methods. Under Tender System a list of selected books is prepared and tender for offering the books at the maximum discount is floated. The firm offering maximum discount on the printed price is asked to supply books. Obviously this is a cumbersome, rather impractical method. The library has to take all steps through which order copy passes each time a list is ready for acquisition. Similarly, dealer library plan under which publishers will send books on approval for selection can be practical only in case of publishers operating in the same city. No foreign or major local publisher would agree to this method. As far as quotation method is concerned, it has been discussed under terms and conditions of supply.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with answers given at the end of this Unit.

9) List all the methods of acquisition through monetary payment.

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5.4.2 Acquisition through Payment in Kind

i) **Institutional Membership Method**

Acquisition through institutional membership is normally done by research and special libraries. The parent body of the library or one of its members becomes member of an institution or organisation working in the same or an allied area. By virtue of the membership it is entitled to receive their publications which on receipt are transferred to the library. Sometimes the library itself takes up membership of an association or institution and becomes entitled to receive its publications. But a membership is normally on payment of annual membership fee and the acquisition of publications cannot be included under free publications. Membership is sometimes the only way of obtaining periodicals or other publications of a society.

ii) **Exchange Arrangement Method**

The method is well suited to the needs of the libraries belonging to organisations which also have publications documenting their own work. Sometimes such arrangements are on cost to cost basis. Both the bodies keep an eye on the total value of the books dispatched and received. Most often such arrangements are for periodical publications only. Duplicate materials and materials not required are also used for exchange purposes.

There are countries who have established “foreign exchange centers” for offering the services in more rational manner. This method often proves very helpful in getting publications which were lacking in a library and were not available through booksellers. Exchange of publications arrangement is very often established between national libraries of two countries.

5.4.3 Acquisition through Gift, Donation and Deposit

i) Gift

Gift of books to libraries has been a very valuable but insignificant source of acquisition. Often scholars send their own books to libraries so that it may become accessible to wider reading public. Some may leave a will to their heirs to gift their book collection to local library or to library specialising in the field in which they had their interest in life. Occasionally, Embassies gift books of authors of their country to major libraries of the host country. Major and minor but famous libraries are regular recipient of books, manuscripts and other valuable documents, as gift from heirs of eminent scholars.

ii) Deposits

Deposit, another way of free receipt is also a source of acquisition in libraries. Sometimes collection of papers of historical importance in the possession of a person, files of activities of political party or pressure group, etc. is deposited in libraries for safe custody and for use by research scholars. The library of the Indian Council of World Affairs was made depository library for Jaya Prakash Narayan’s personal papers. National and State governments regularly send to libraries official publications for use by library members. International Organisations like UNESCO, UN, The World Bank, etc. select libraries in different countries to deposit some or all of their documents for use by research scholar’s .The World Bank has chosen universities of Kerala, Punjab, Bombay, etc. as libraries for depositing its documents and books. Deposits are also obtained through soliciting by the organisations or by influential individuals associated with the parent body of the library. With efforts of Dr. V.K.R.V.Rao, one time Director of The Delhi School of Economics, the Rattan Tata Library of the School became depository library for publications of U.N as well as of F.A.O and IBRD. Similar was the case of the Library of the ICWA, popularly known as Sapru House Library. In terms of usefulness such materials far exceed books obtained with great efforts and on high payment publications. National level libraries become depository library for the national government. The National Library of India is depository library for Government of India publications.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with the answers given at the end of this Unit.

10) Explain Depository method of acquisition with some examples of deposits.

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iii) Donation of Books

Donation is another way of making gift in bulk. In some Western countries groups like Friends of Library persuade people to donate books to libraries. This movement was very active during the period when libraries were starved of funds.

Free receipt of books brings with it various problems. If the quantity is large it creates space problems. If the material received is of no value the library finds itself in a fix about treatment to the gifted material. Weeding out may raise public relation problem. Some people want their gifted collection to be kept as a separate collection. But such treatment is possible only in exceptional case of a collection from an outstanding scholar. The library therefore must formulate a policy regarding receipt and retention of gift books.

5.4.4 Free Access to Electronic Sources

The initial high cost of electronic periodicals led to two developments: i) formation of consortia, and ii) movement for Open Access of periodical research articles and research reports. This leads to the second development was given by Open Society Institute which convened an International Conference at Budapest in 2001. The goal of the Budapest Open Access Initiative was free availability on the public internet of peer reviewed journal articles as well as non-reviewed pre-prints of potential interest to the scholarly community. It permits users to read, download, copy, distribute, print, search or link to the full text of these articles without financial legal or technical barriers other than those inseparable from gaining access to the internet itself. The only copy right restriction is that the authors have control over the integrity of their work and the right for proper acknowledgement. The Initiative has now become a world movement and scholars are archiving their articles and reports for free access. Under the Berlin Declaration, 2003, scholars in Germany are required to archive their work at Max Planck Society. PubMed Central is the archive of the US National Institute of Health where all research results are archived for free access.

Open Doar Directory of open access repositories is helpful in locating several open access sources. Another source for identifying freely accessible electronic journals is CIC Electronic Journal Collection US.

5.5 ACCESSION ROUTINES

Accession or entering into a recording document, bibliographic details of an acquired document is the final routine in the process of acquisition. Traditionally the information about documents acquired by a library is maintained in a register. Since the information is going to be preserved for a long period care is taken to select a register with strong paper and strong binding.

Since most of the information entered in the accession document is the same as are available in book selection card/slip. Prof. Ranganathan suggested using the same slip as accession record. Thus we can also maintain accession record in card form. These cards are preserved in serial number order under lock and key for safety purpose.

In addition to books libraries now also maintain various non-book materials such as audio-visuals and electronic publications. Offline electronic publications, if they are in digital form of printed materials have the bibliographic details as were available in printed version. But online material with no corresponding printed source poses a different problem. Technically these are not owned by a library, the library has got only access right, and therefore the question of their accessioning does not arise. However methods are available to verify if access has been granted.

5.5.1 Accession Policy

Accession record being the inventory of resources owned and available in a library, every document acquired by a library must be entered in accession record. But this is not always the case. Documents acquired on payment must be accessioned, as proof of receipt, to facilitate payment of the corresponding bills. The decision about accessioning documents received in exchange, under membership and as gift, donation or deposit, depends upon library policy regarding their accession. Therefore each library has to have a policy regarding accessioning of materials received by it. The followings are some other points that are covered by an accession policy:

- Decision whether to maintain one sequence of accession number for documents acquired under all categories or adopt different sequence for different categories. Some libraries keep separate sequence for material received as gift,
- Decision on the value of the documents to be entered. Should it be the price printed on the document or, the price charged by the supplier? The price entered should be the actual amount paid for the document. Another point in value is the currency in which price is to be entered. In case of foreign publication the prices are given in the currency of the country,
- Decision about the price to be entered for books received as gift with no price printed in the book,
- Decision about the style and order in which author's names are to be written in the recording document,
- Decision about accessioning book released in parts. If pagination is in continuation, the first installment may be entered with note in remark column,
- Decision about accession record for non-book materials such as microforms, magnetic tapes, etc., and
- Decision about the currency for entering price of materials acquired from foreign country.

5.5.2 Administrative Functions of Accession Record

Accession record is helpful to the library in various administrative functions:

- It shows chronological growth of the collection, total quantity of collection, addition to the collection in any individual year, etc.
- It also gives information about the total number of material received as gift or under exchange, and deposit.
- It also provides information about the number of books weeded out from the collection.

- It is the only source for compiling some statistics for the building planning, for staff requirements, etc.
- It also serves as tool for stock verification.

5.5.3 Procedure for Accession of Document

Price Paid Publications

Once books and bills are received from order unit, bills are arranged by date and each bill and its books are separated. The books are entered in accession register in the order in which they are listed in a bill. Once all books of a bill have been entered the corresponding number of each book is put on the verso of the title page and on the secret page of the books determined by the library. The accession number of the first book and after a dash of the last book is put on the bill. Bills are stamped with a certificate certifying that all books have been duly accessioned in the accession register at the accession numbers recorded on each bill. Books are transferred to Technical Section for processing and bills are passed on to account section for payment.

Documents received as gift, in exchange, as deposit, etc. if decided for accessioning, are arranged by author in alphabetical order and accessioned accordingly. An estimated price is entered in the price column for material not showing any price on the title page.

**Specimen page of a Accession Register
(Name of the Library)
Accession Register**

Date	Acc. Number	Author	Title	Publisher & Place	Vol.	Edn.	Yr.	Pp.	Source/ Bill No. & Date	Order No. & Date	Cost	Remarks

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with the answers given at the end of this Unit.

11) Explain the administrative functions of accession.

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5.6 ACQUISITION OF SERIALS

Serials or periodicals are the most popular form of reading material in all types of libraries. Any publication which is published with the same title at a fixed interval may be called a serial/periodical. A distinction is made however between a serial and a magazine, the latter being more a publication for popular reading than a serial which is associated with materials of serious nature.

There has been an element of confusion about the terms serial and periodical. According to Anglo-American Cataloging Rules (1988) a serial is a publication in any medium issued in successive parts bearing number or chronological designation and intended to be continued indefinitely. Serials include periodicals, newspapers, annuals, (reports, yearbooks, etc.) the journals, memoirs, proceedings, transaction, etc. of societies' and numbered monographic series. The ALA Glossary of Library and Information Science excludes news papers from periodicals but includes annals. Ranganathans' definition excludes serials from periodicals. In fact, his definition of periodical includes only such regular publications which form part of a volume: A publication which is a volume in itself and is published once in a year is an annual and annuals are called serials by Ranganathan. But the controversy seems to have been resolved by ISO standard 3297. The Standard definition of serial encompasses periodical among serials. The British librarians have also come around to adopt serial as the term for periodicals and journals.

A close study of the routines about ascertaining demand, method of selection and procurement shows that there are very minor differences between books and serials. Generally selection of core serials for libraries are done one time, but on the same criteria as are applied to selection for books, leaving subsequent changes of addition and deletion of titles at the time of renewal for the next year. What is distinct about periodicals is their management. The characteristics that make periodicals distinct from monographs may be summarised as below:

i) **Publication**

- Periodicals are published by a few specialist publishers only.
- A good number are published by/or are published on behalf of learned bodies only.

ii) **Level of Information**

- Mostly carry articles of primary nature.
- Contain news about scholarly world.
- Provide most recent information expeditiously.
- Serve as major source for book selection.

iii) **Management**

- Core journal list is selected one time in the life of a library. Addition and deletion are done at the time of annual renewal only.
- Subscription is normally entered through agents and the payment is made in advance.
- A sizeable number is acquired under exchange or is received as gratis.
- Periodicals are received in parts and need binding once the volume is complete.
- Require local or commercial documentation and/or SDI service.
- Need extra vigilance to protect against theft and pilferage. Incomplete volumes are often difficult to complete.

Periodicals, during their life time, undergo various changes in name, periodicity, and number of issues per volume, splitting into two or more series, merging with some other periodicals. These changes pose problems in cataloguing which have been discussed by Prof. Ranganathan in greater detail in his book Classified Catalogue Code. These were some reasons which made them to be acquired by a separate section than the acquisition section.

iv) **Electronic journals**

Electronic Journals have given rise to many new supply systems viz.

- 1) Acquisition through Consortium
- 2) Acquisition through Aggregators
- 3) Acquisition of articles through Document Delivery System (DDS)
- 4) Acquisition of content only through Table of Content Service
- 5) Acquisition through Free periodical Services.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with the answers given at this end of the Unit.

12) List characteristics that make periodicals distinct from a monograph.

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1) **Acquisition through Consortium**

Consortium method of serials acquisition offers added advantage. It provides every consortium member library total access to consortium resources irrespective of e-journals it has subscribed. This feature increases libraries reach to more and more journals without any additional cost. Some important consortia in India are the INDEST and CSIR E-Journal Consortium.

2) **Acquisition through Aggregators**

Aggregators develop package of databases by entering into an agreement with a number of producer/publishers to offer e-sources in a cluster. They often add value to the package by providing a consistent search engine for searching titles in the group. OCLC, Lexis-Nexis, EBSCO, etc. are some well known aggregators. The problem with aggregators is that they add and drop journals in the cluster unannounced.

3) **Acquisition of articles through Document Delivery Service**

DDS has emerged to meet the needs of a library for articles from journals not subscribed by the library. The article copy is supplied at a fee which includes cost of the material plus copyright fee. The service is well suited to research institution which don't subscribe to too many journals. Dialog Information Service, EBSCO, OCLC Article First are some firms offering DDS.

4) **Acquisition of content only through Table of Content Service**

It is a modified form of SDI and is available both through firms offering DDS as well as through subscription agents. It is more helpful for heavy users of DDS service. Uncover Reveal, Faxon Flash, Swet Scan are some firms offering TCS.

5) **Acquisition through Free periodical Services**

Free periodicals are of two types, free with subscription to print issue, and free to every one for asking. However these are mostly published by learned bodies. For further details see "Acquisition through Gift, Donation and Deposit" discussed in section 5.4.3 of this unit.

Selection Criteria for Electronic data

Different institutions/authorities have given different criteria for selection of electronic data bases. The following however appear to be the most comprehensive criterion:

- Integrity of the data,
- Economies of scale,
- Benefits to the greatest number of users,
- Timely availability,
- Extensive contents,
- Increased functionality,
- Enhanced access to remote users,
- Improved resource sharing,
- Ease of archiving and replacing.

Edward Evans considers content access, support after delivery and cost as the most important criterion while evaluating an electronic resource.

Problems with electronic sources

- Data can be devolved from the delivery mechanism. This creates problem in choice of suppliers as all are supplying the same data. For example BIOSIS is the main supplier of information in life sciences offering 14 million citation records from sources such as Biological Abstract, Zoological Records. But this data is also available from Dialog, Elsevier Science.
- Quality of the data is difficult to assess before acquisition. No source like Journal Citation Report is available for e-sources.
- Electronic sources often exclude certain auxiliary information such as letters to editor, news about conferences, etc.
- Stability of text over a period of time is often doubtful.
- More than one price models are mind boggling.
- Many firms link electronic subscription with print subscription e.g. Academic Press.
- Electronic databases are accessed under an agreement which spells the following points:
 - Number and categories of users;
 - Time period of access;
 - Place /places from where access is available;
 - Archiving facilities for subscribed period once subscription is cancelled;
 - Extent of documentation regarding hardware /software;
 - In case of CD provision for updating information and clarification on copyright.

5.7 SUMMARY

Acquisition of resources is akin to transfusion of life blood in the library body. The routines of acquisition include selection, approval of the selected items, preparing indent, placing order and accessioning of received materials. Libraries acquire material through purchase as well as through exchange. They also get materials as gift. Electronic publications have now become an integral part of collection. In acquisition work libraries have to take decision about supplier and about terms and conditions of supply. As major academic periodicals are available in electronic form and their acquisition is now mostly done through a consortium. Accession record is of much administrative importance.

5.8 ANSWERS TO SELF CHECK EXERCISES

- 1) Routines of acquisition require input from persons outside the acquisition section, even from other departments outside the library such as people with knowledge of law and technology. E-serial acquisition calls for selection of favourable price model, decision on terms and condition of access, information on archiving facilities. The list of suppliers now also includes Aggregators and Consortium.

- 2) The main objectives of the acquisition section of the library are:
 - To acquire material as quickly as possible,
 - To maintain high level of accuracy at all levels of procedure,
 - To keep the work process simple to achieve lowest possible unit cost,
 - To develop close working relationships with other library units and with vendors.
- 3) The following points need to be considered while preparing budget estimate for Acquisition section:
 - A) In overall amount required for the year,
 - Provision for inflation rate,
 - Provision for new courses, new extension services, etc.,
 - Provision for likely revision in subscription rates,
 - Provision for likely change over from print to e-serials.
 - B) Department wise allocation,
 - Utilisation of previous years grant,
 - Nature of course with regard to the ratio of periodicals to monograph requirements,
 - Proposal for new project.
- 4) The ordering process involves following points:

Pre-Order work: Checking of bibliographical details; checking of duplication with order record, with receipt record, with catalogue, with suggestion letter if a duplicate copy is required.

Order work: Checking order letter with requisite details of an order copy regarding terms and conditions; clarification about requirements in invoice.

Order receipt work:

 - A) Checking if received consignment for, a) complete supply of ordered items, b) condition of items supplied, accuracy of items supplied; c) checking of invoice for correct details;
 - B) Taking prompt action for corrective measures for any mistake in supply or discrepancy in invoice, etc.
- 5) The advantages of acquisition through agents are:
 - i) Saving staff time, on cartage, on postage, etc.,
 - ii) As bulk customer they get prompt response from publishers for any problem which they pass on to the library,
 - iii) Provide efficient service in case of rush order,
 - iv) Get for library better terms on license for e-resources,
 - v) Provide advance information on likely revision in subscription rates which helps library in adjusting its budget,
 - vi) Over time they build up various types of information on databases and various pricing models which helps library in selection of e-sources,

vii) Agents are now attending library conferences which have given them better understanding of library needs.

6) The benefits and problems of acquisition through consortium are:

- Libraries have to accept journal of marginal interest,
- Libraries have often to forgo acquisition of periodicals of their local interest,
- A fair amount of budget is committed over which they have no control,
- Libraries get better terms for access right for e-sources,
- Their readers get access to journals which otherwise they could not have subscribed.

7) The problems specific to Indian book market are:

Book markets concentrated in metropolitan cities only,

No standard trade discount system,

Delay in getting new publications,

Problem of getting foreign language, non English language, books.

Local publication acquisition problems: No commercially published selection tool; considerable delay in publication of INB, not many good firms dealing in old and out of print books, government publications are not sold on commercial pattern. Often procedural hurdles are placed in the way of importing foreign publication.

8) Trade discount, foreign currency exchange rate ,supply of latest edition, readiness to replace defective copy, correct price to be charged, written agreement where advance payment is involved, clear statement on terms of access to e-sources are point to be covered in terms and conditions of supply.

9) The methods of acquisition through monetary payment are:

Standing Order Method, Books on Approval Method, Regular Order/ Open Purchase Method, Sanding Order Method, Blanket Order Method, Tender, Quotation, and Dealer Library Method.

10) Deposit is a category under free acquisition method; It may be a onetime deposit as when personal collection of some eminent person is deposited or regular arrangement, as some libraries get official publications of government or institution. Jaya Prakash Narayan papers at Sapru House library, World Bank Publications at some university libraries.

11) The administrative functions of accession are:

- Source of information: (i) Total collection (ii) Total of annual addition,
- Record of annual receipt under various methods,
- Record of books weeded out,
- Tool for stock verification,
- Source of compiling various statistics.

12) The following characteristics make periodicals distinct from a monograph:

- Published by specialist publishers or by scholarly bodies,
- Carry along with articles also news, book reviews, editorial notes, letters addressed to the editors,
- Subscription on annual basis and mostly through agents only,
- Need indexing services for efficient use,
- E-journals are also available through Aggregating firms, through consortium and also free,
- E-journals are also available as cluster of articles; even content pages are also available through commercial firms.

5.9 KEYWORDS

Accounting	: Keeping record of expenditure from sanctioned amount.
Aggregators	: Suppliers of online articles data from different journals in collected form.
Bibliographic Detail	: Author/editor, title, date, place of publication, publisher, pages, note (if any).
Berlin Declaration	: Declaration made in Berlin asking research scholars to deposit research results at The Max Planck library for free access to scholars.
Consortium	: Group of libraries formed to acquire online periodicals.
Credibility	: Goodwill of a firm as an upright supplier.
Document Delivery Service	: Supplying documents on demand of the users.
Open Access	: Facility to free access to online resources.
Reviewing Media	: Sources providing reviews of new publications.

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UNIT 6 BASIC HOUSE KEEPING OPERATIONS PART 2

Structure

- 6.0 Objectives
- 6.1 Introduction
- 6.2 Processing Work
 - 6.2.1 Need for Processing
 - 6.2.2 Organisational Structure of Processing Work
 - 6.2.3 Personnel for Processing Work
 - 6.2.4 Physical Processing
 - 6.2.5 Technical Processing
- 6.3 Circulation
 - 6.3.1 Scope of Circulation Work
 - 6.3.2 Users/Members Registration
 - 6.3.3 Charging and Discharging
 - 6.3.4 Control Methods for Circulation System
 - 6.3.5 Records and Statistics
- 6.4 Serials Control
- 6.5 Summary
- 6.6 Answers to Self Check Exercises
- 6.7 Keywords
- 6.8 References and Further Reading

6.0 OBJECTIVES

After reading this Unit, you will be able to:

- explain the need for processing of documents collected by library;
- discuss the areas of physical and technical processing;
- describe the procedures to be followed in classification and cataloguing of documents;
- explain the meaning and scope of circulation work;
- discuss the methods and processes of charging and discharging; and
- describe the serials control process in libraries.

6.1 INTRODUCTION

This Unit deals with three important aspects of libraries i.e., processing, circulation and serials control. Libraries acquire materials in different categories for the use of library members. These materials need an arrangement for easy access. The materials also need preservation and protection from manmade and natural causes of deterioration. The materials are therefore first organised into various sequences, some of which are openly accessible while others are accessed under supervision. Materials in each sequence are further arranged in classified order in their respective shelves.

But before the materials are arranged as above, these have to be prepared for issue or consultation in the library. Preparation requires stamping of books with library stamp to give them a symbol of library ownership. Further these are provided with certain special stationary to facilitate their circulation.

Circulation is a library service of foremost importance. It is the quality and method of circulation service that makes or mars the image of a library among its users. Circulation is providing to the registered members of the library, facility of borrowing materials from library for reading outside the library premises. It is open to persons who take membership of the library. In a public library any citizen of the district can become member of a library. In academic library only students, the faculty members and staff have this privilege. To serve their members, libraries often borrow materials from other libraries. Libraries have various control methods to regulate the circulation function.

Serials absorb a major portion of the library budget. Once subscribed, a title becomes annual commitment until such time as decision is taken for cancelling its order. Receipt of serials is a job of much alertness. Any delay in reminding the supplier for replacement may result into loss of the issue until it is purchased from a bookseller selling second hand books. There has been a tradition of organising receipt and maintenance of serials by a separate section. A select number of serials are put up for display on specially designed display racks. Usually the loose issues of the titles on display are kept along with the current issues till the volume is complete. Serials' binding requires carrying out certain preliminary steps before sending them for binding.

6.2 PROCESSING WORK

Processing work consists of Physical processing and Technical processing. Both activities are carried out in one department of the library popularly called Technical Department although also known by Cataloguing Department or Technical Processing Department.

6.2.1 Need for Processing

- making library material ready for use.
- ensuring identification of library material that it is property of library.
- facilitating use of library material.

6.2.2 Organisational Structure of Processing Work

The processing work is organised in three units, namely classification unit, cataloguing unit and physical processing unit. But the work of all the three units is closely interlinked. The cataloguing unit has to depend on classification unit for subject index and cross reference added entries. The classification unit has to depend on the correct filing of catalogue cards for checking duplication in constructing class number. The chief of the department has to coordinate the jobs of the two technical units.

6.2.3 Personnel for Processing Work

An essential requirement in personnel of the processing department is an eye for the details. Even the most mechanical job of copying call number from verso of

the title page to the catalogue cards, requires alertness of high degree as slight slip, like putting 372 in place of 327, may send document in political science to the subject area education. The jobs of the department provide the base for library service. The two technical functions of classification and cataloguing require understanding of the world of knowledge, broad acquaintance with all the disciplines, and a clear vision about the needs of the local clientele of the library. The entire routine is a continuation of the existing system and services of the library. The practice of deviation in classification and cataloguing should be in keeping with the fundamental spirit of the classification scheme and cataloguing code and should be followed with consistency in keeping with the authority file maintained in the section. The staff has to be a team of competent personnel in the processing department.

6.2.4 Physical Processing

Physical processing, also called preparation of books for use by the user community, is carried out at two stages. At the first stage, which begins soon after the book is received from acquisition, the book is first stamped at various places with library stamp, as a sign of library ownership. Next, certain essential stationary items are pasted on the book at the designated places. These include library label, date slip, tags, book pocket. At the second stage, after classification and cataloguing, the call number, developed for the book, is written on the verso of the title page in pencil and on the tags and date labels in ink. It is also noted on all the catalogue cards. A book card is prepared for each book which has author title accession number. Call number is written in ink. The catalogue cards are separated in two groups, one by class number and the other by alphabet. Each group is further arranged in a systematic order and cards are filed in their respective trays.

Once the processing work is completed a list of newly added books, called list of addition is prepared and books are released and sent to the maintenance section. Thus, it requires carrying out the following jobs in physical processing:

- Dust cover strengthening
- Stamping with library name stamp
- Pasting various labels, tags, book pockets, bar code, etc.
- Putting call number at various places in the book and in catalogue cards
- Filing of catalogue cards
- Writing call number, author and title on the Book Card.
- Preparing list of addition at fixed interval for display and for circulation among faculty members
- Releasing books processed during the week or month for addition to the collection.

Note: Automation of circulation routines has dispensed with need for book pocket and book card.

i) Dust cover strengthening

Publisher in order to enhance the physical get up of books put dustcover around the book. Very often dustcovers carry information which is not

available in the text of the book. To protect the aesthetics of the books these covers are protected by putting around them cellophane covers.

ii) **Stamping**

Books received for processing are first stamped with library stamp to display the ownership status of the book. These stamps are pasted in designated places in each book such as the verso of the title page, across the two sides of the closed book, library secret page and at the last page of the book.

iii) **Pasting**

To further strengthen the ownership position, each book has a **library label** or **book plate** which is pasted at upper left corner inside the first book cover. **Tags** for writing call number are pasted on the spine of the book at a place 1” above from the bottom of the book. If the book has dustcover an additional tag is pasted on it at the same place. In books with thin spine, tag is placed at left side of front cover at the same height. Providing protective tape to the tag has now become a common practice. It ensures it from loss and defacement. In libraries where book cards are in use, a **book pocket** is pasted on inside the front cover at left hand bottom corner. Care should be taken to keep the open side of the book pocket on the right side direction of the cover. **Date slip** is pasted inside the book on a page facing the first cover. Some libraries use the last page of the book inside the cover.

iv) **Call Number**

Call number of the book is written, in ink, on outer and inner tags, on date slip, and in pencil, on the verso of the title page near the accession number, on the secret page, and at the last page of the book. Call number is also written in pencil on all the various catalogue cards prepared for the book.

v) **Filling of Catalogue Cards**

The catalogue cards prepared for each book are first separated into groups of alphabetical and classified cards and arranged in each group in serial order. Both are arranged as per their requirements and filed in their respective trays.

Information about accession number and call number on secret page is helpful in ascertaining information about authorship, etc., when books badly damaged, have no title page and are to be sent for binding.

Self Check Exercise

Note: i) Write your answers in the space given below.

ii) Check your answers with the answers given at the end of this Unit.

1) Explain physical processing.

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2) Describe routines of physical processing.

6.2.5 Technical Processing

Technical processing consists of jobs in relation to classification and cataloguing of books. Libraries core functions, carried out behind the screen, relate to three broad areas viz:

- i) Acquisition of resources,
- ii) Organisation of resources along with development of tools for their access,
- iii) Maintaining resources in good condition for use by contemporary generation and also for use by the coming generations.

From the point of view of providing access to the resources, organisation work is of prime importance. It helps readers in getting access to the needed document with minimum efforts and saves time of the reader for its maximum utilisation. Organisation is brought about by providing each document a unique number through a symbol called call number and by developing access tools, i.e. catalogue cards to satisfy all the various possible approaches, expected of a person looking for materials in a library. The jobs carried out for this purpose are called Technical Processing jobs.

Technical processing includes:

- Classification of books
- Cataloguing of books

A) Classification of Books

Classification work is carried out to bring organisation in the library materials. It is achieved by assigning a code number, called call number, composed of class number and book number, to each document based on a scheme of classification. A scheme of classification is an attempt to map the universe of knowledge, and assign each individual subject an artificial number which replaces the name of the subject. Since the universe of knowledge is ever changing the schemes developed either need constant revision or must have built-in mechanism to adapt to the situation.

The system of organisation is achieved by using a logically developed scheme of classification. At various stages in the history of librarianship schemes of classification have been designed. But among the existing schemes, DDC and UDC are the classification schemes which have wider acceptance. The selection of scheme does not come in the purview of processing department. The department is expected to use the scheme selected by the library for classifying the resources.

Classification is an essential function of a library. In the present age of tremendous growth in the world of knowledge and information unless resources are organised in some rational order access to the needed document is just not possible. The work of classification is carried out through the following distinct jobs:

- Checking duplication
- Deciding the basic class
 - Detailed class number
 - Working out book number
 - Working out subject headings
- Checking class number by the chief classifier

The basic class is normally identified by looking at the title, preface to the book, introduction by the author and by going through the content pages. Occasionally help of subject expert is also sought. The classification unit also maintains an authority file for recording local deviation in construction of class number.

Need for Classification

- All libraries (academic, public and special libraries), irrespective of large or small collection of library resources, have to introduce some sort of organisation of their collection. Unless they organise the collection according to an established system of classification it cannot be used efficiently. A rational/logical system of organisation is a *sine qua non* for providing efficient, accurate and expeditious access to the desired material.
- Library materials are constantly in use, both for borrowing and for browsing in the stacks. In the process the order of organisation gets disturbed. Classification of materials is essential to bring the order back for use by new readers and also to re-shelve books which have been returned or left after being browsed by a reader.
- Acquisition of new materials is an ongoing activity in libraries. The new acquisitions have to be accommodated in their proper place in shelves. Proper placing is only possible if they are classified according to an approved scheme of classification and bear call number.
- Staff in libraries like any organisation keeps changing. Unless the library follows a scheme of classification the authority manual developed to meet the specific situation in classification shall become meaningless.
- Books returned from binder or binding unit after binding are replaced in their respective shelves with the help of call number based on the adapted scheme of classification.

Tools for Classification

The following tools are to be made available in the technical section for classification of library materials:

- Copy of the scheme of classification selected by the library,
- Copy of Authors table (approved for use) if the scheme is other than Colon Classification,

- Copies of recent issues of the Indian National Bibliography, British National Bibliography and American Book Publishing Record (ABPR),
- Library of Congress Catalogue of Printed Books,
- Sear's List of Subject Headings,
- L C List of Subject Headings,
- Dictionaries, world atlas, single volume encyclopaedia.

The materials acquired by libraries are generally recent publications which are likely to be already listed in current national bibliographies. The bibliographies, both, INB and BNB, also give class number for books listed which have been worked out by a team of experts. The same number may be copied by the unit. However, in the recent past, *WorldCat* and other online sources on the Internet more easily provide classification number, subject headings and other metadata of books.

Libraries also buy many old publications which are already available in the Library of Congress catalogue with class number and can be adapted by the library. Subject Heading lists are used to provide for subject headings which shall be used by the cataloguer for making added entries. However these list are not required if the library is following Colon Classification for classifying books as this scheme uses chain procedure for deriving subject headings.

Personnel for Classification

The first step in classification is to identify the basic class of a book. Although great number of books acquired by libraries have simple titles which disclose the basic subject of books easily, there are also many a titles which defy such easy solution. It requires clear understanding of the universe of knowledge which comes by keeping oneself abreast with various disciplines through general reading as also possession of in depth knowledge of one or two disciplines. The classification unit therefore must have staff with in depth knowledge of various disciplines. It has been said that the classifier must have an aptitude for classification. In certain situations even help of subject specialist from the faculty may become essential.

Classification Procedure

The job of processing is carried out according to a set routine for the same. The routines include:

- Checking with the existing collection,
- Determining specific subject.
- Assigning Class number,
- Assigning book number,
- Recording needed subject headings for the cataloguer,
- Review of call number by chief classifier.

Before beginning to assign class number you must know the policy about the extent of depth of classification in the library. Some libraries such as public library follow broad class number policy, while others such as university or research libraries, follow depth or close classification.

Checking of Books

The books are arranged alphabetically by authors' name and are taken to the author catalogue for checking. The purpose of checking is to find out if the library already has copies of some of the books in its collection. If copies with the same edition are already available, the words "add" are written on fly leaf of each of the identified book. The call numbers for these books are copied from the catalogue card and written on the verso of the title pages of the books being checked. The words Main and Shelf are written on fly leaf if library has earlier editions of these books.

Determination of Specific Subject

The next step is determination of specific subject for books not found in the catalogue during the checking. Specific subject is determined with the help of internal evidence in the books such as title, subtitle, preface, author's introduction, observations of some eminent authorities often printed on the back of the jacket or on jackets' fly leaf. If internal evidences fail one looks up external evidences such as reviews in subject magazines, checking with national bibliographies like INB, BNB and as last resort consultation with subject experts. In many a cases the title or subtitle itself is enough to decide about the subject.

Assigning Class Number

When it comes to assigning class number, one has to remember the policy of the library about assigning "close" number or "broad" number. In special, research and academic libraries, policy of close number is followed. But public libraries remain content with broad classification. Class number is constructed with the help of schedules of the subject in the classification scheme. In Colon Classification one has to follow the facet formula of the subject schedule to construct class number. In enumerative schemes like the DDC or UDC, where subject schedules or relative index fail, one has to take help of lists of subject headings, like the Sear's List or the LC List of Subject heading. Final class numbers are written, in pencil, on the verso of the title pages of each book.

The LC Cataloguing- in-print policy has now solved, to a great extent, the problem of class number construction for books published from the English speaking countries. Even subject headings for added entries are also available in the books.

Book Number

Assigning of book number, in case of enumerative classification schemes is achieved with the help of one of the various Authors Tables developed for the purpose. In practice libraries are generally using the first three letters of the title of the books or of the names of authors.

Staff Manual or Authority file

Authority file is an important document maintained by the Technical Section to record deviations adapted in the library in deciding basic subject or class number. The deviation from the otherwise required decision, is made to suit the local needs of a library. The file serves as guide to the new member of staff or to a newly transferred staff.

Self Check Exercise

Note: i) Write your answers in the space given below.

ii) Check your answers with the answers given at the end of this Unit.

3) Write in brief the need for processing work.

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4) Write in brief the need for classification of documents.

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5) Explain the routines of classification.

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B) Cataloguing of Books

Cataloguing is the next technical job done by the technical unit. Cataloguing is done with the help of code for cataloguing. The AACR-2R is the one code which has worldwide acceptance. It is a dictionary code according to which the main entry begins with the author's name. The Classified Catalogue Code of Dr. S. R. Ranganathan is used in many libraries in India. In CCC the main entry begins with class number. The CCC uses chain procedure to derive class index entries, but in AACR one has to use one or other list of subject headings. LC List and the Sears list are used for this purpose.

In cataloguing a book the following jobs are carried out:

- Preparation of the main entry
- Preparation of shelf list
- Preparation of added and reference entries

The essential bibliographical details for monographic document, for serials and for non-book materials that make a document distinct were approved in 1971 and adopted in 1974. The bibliographical details fall under the following areas:

- 1) The title and statement of authorship area,
- 2) The edition area,
- 3) Imprint area,
- 4) Collation area,
- 5) Series area,
- 6) Notes area,
- 7) International Standard Book Number, Binding and price area.

Need for Cataloguing

- Catalogue helps choosing a specific title among the books on a subject, through bibliographic information about book, in the catalogue card.
- The multiple entries for a book help user in locating in the catalogue desired book about whose author s/he was not sure but knew other bibliographical detail.
- The classified part or subject catalogue in dictionary catalogue, gives an idea of amount of material in a library on a given subject and its subdivisions.
- The date of publication in the catalogue helps reader know that how up-to-date is the material in a book.

Note: Much of the problem of cataloguing foreign language books is solved due the cataloguing-in-publication policy being followed by publishers in foreign countries. But libraries should not copy the class number blindly and must check with the contents of the book for possible misinterpretation of the subject.

Tools

- Catalogue Code
- List of subject headings(if AACR is in use)
- Dictionary of Indian names
- Language dictionaries

Cataloguing Process

The jobs of the cataloguing depend upon the code of cataloguing adopted for cataloguing work and the scheme of classification selected for classification. The placing and extent of details provided in added entries vary in the two codes. If the library is following the unit card policy, the job of preparing added entries is reduced. If the classified cataloguing code is in use the back of the main card shall need provision for tracing.

- Preparation of the Main entry
- Preparation of shelf card
- Preparation of Added and Cross Reference entries
- Checking of the main card and added entries

Self Check Exercise

Note: i) Write your answers in the space given below.

ii) Check your answers with the answers given at the end of this Unit.

6) Describe the areas of Bibliographical details of a book.

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7) Discuss the need for cataloguing.

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6.3 CIRCULATION

Circulation of documents or circulation service and reference service are the two services which are considered to be the public face of a library. The efficiency and the manner of their performance determine the prestige and rating of any library in the eyes of its user community. Circulation service refers to facility provided by a library to its members to have one or more documents for study outside the library premises for a specific period. Such a facility is extended against guarantee in the form of a membership card given to members once they take up membership on fulfilling the requirements for the same or get membership by virtue of their position in an institution or organisation, the parent body of library.

The basic aim of the circulation section is to maximise the utilisation of the library resources and the major concern of circulation service is to perform this task with economy and efficiency.

In this Unit, you will learn the scope of work of the circulation section, circulation systems, and policy regarding borrowing privileges and the records and statistics maintained by the section.

6.3.1 Scope of Circulation Work

Core Functions:

- 1) Users' registration
- 2) Charging /Discharging
 - i) Reminder and hold up

- ii) Reservation and Recall
 - iii) Renewal
 - iv) Overdue charge
- 3) Record keeping/Statistics

Non Core Functions:

- 1) Wicket gate supervision
- 2) Property/Belonging counters supervision
- 3) Stack maintenance (Shelving, dusting, moving of books)

Depending upon the size and nature of library, scope of the circulation section keeps on expanding and contracting in its functions. In a large library the non core functions may be assigned to independent units but in a smaller library these may be under the supervision of the circulation section.

6.3.2 Users/Members Registration

The first step in organising circulation work in a library is to define its clientele. The clientele in the case of a public library is the general public residing in a defined geographical area. In the case of an academic library, it the students and faculty members, including the authorities of the institution, who constitute the clientele. The clientele are to be registered with the library to establish their identity for extending library facility. The identification is necessary for the accomplishment of the controlling processes like holds, recall, overdue charge, etc. Registration is the initial contact point with the potential users of the library. It helps the library to understand the type and level of service that the potential members are going to expect from the library. It also offers library opportunity to explain its members their rights and privileges as well as their responsibility towards preservation of the resources.

Usually a card in the shape of postcard with language of application printed is given to potential user where blank spaces for name address qualifications, etc., are available. Space is also available for introduction by an official or a public man of standing. In case of an academic institution, the administration sends to the library list of admitted students. The students come to the library to collect application form along with their identity card. In both cases on completion of registration, members are given library cards as per their entitlement and a copy of the guide lines for using the library.

6.3.3 Charging and Discharging

Charging/Discharging function is the main component of the circulation work in a library. It refers to the issue and return of books for reading outside the library for a specified period. The charging methods have evolved over a period of time. The service is available to those who have registered themselves with the library as its member. It began with the simple Day book method in which all the books issued in a day were entered in a register in the order in which they were issued. As the books carried no information of date on which they were issued problem of locating the record for cancellation made the library adopt register system in which a page was assigned to each member. This system created problem of locating a particular book out on loan, as the record of issue was by

name of the borrowers only. To get over the situation a slip was made for each book issued. These slips were arranged by author of the book and kept at the counter. The present book card is a replacement of the slips. The book card has information about author, title, call number and accession number.

Although there are various improvised systems for charging and discharging of documents, the two most widely practiced systems based on combination of book card and membership card are the Browne circulation system and the Newark circulation system.

Normally books acquired by libraries are transferred to the stack area after they have been made up with necessary stationary items such as library label, due date slip, book pocket for book card and book cards complete with information about the book, etc. Issue counters are now designed with built in charging tray and enough space for storing books returned by members and for storage of various records and a set of printed stationary items required for use at the counter.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with the answers given at the end of this Unit.

8) Describe evolution of book card system.

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Charging Process

Browne System

The system is named after Nina E. Browne librarian of the Library Bureau, Boston who developed the system towards the close of the Nineteenth Century. Under the system each member is given as many pocket type membership cards as the number of documents s/he is entitled to borrow from a library. The card bears name, address and membership number of borrower. The borrower presents book for borrowing along with library card. Counter staff takes out book card from the book and puts it into the pocket of the library card, stamps the due /issue date on the date slip in the book and gives to the borrower. The book card along with borrower's card is filed behind the date guide in the charging tray. When the book is presented for discharging, the staff with the help of due date in the book, takes out from the charging tray the relevant book card along with borrower's library card. The book is put on the trolley for shelving and the borrower gets back library card.

Sample of material used in Browne system

CALL. NO. ACC. NO.

Name of the Library :

The following books were issued/are due on the date stamped below:

Date of issue/Date of return	Date of issue/Date of return
.....
.....
.....
.....
.....
.....
.....
.....
.....

Size: 12.7 cms x 7.6 cms

Fig.6.1: Date Slip

Book Pocket-----

Acc.No.-----

Name of the Library

Size 5" x 3"

Fig.6.2: Book Pocket

CALL NO.

ACC NO.

Author:

Title:

10.25 × 5 cm
Fig.6.3: Book Card

ID.NO

NAME

ADDRESS

SIGNATURE OF
THE BORROWER

Fig.6.4: Borrower's ticket

Advantages of the System

- The procedure is simple and less time consuming.
- Issue of reminders and calculation of overdue charges on the book is simplified as the staff does not need to check up members detail from membership record.
- Statistical record of issue also can be easily prepared.
- Reservation and/or recall can be carried out promptly.
- Borrower is not required to sign at the time of borrowing.

Disadvantages of the System

- No permanent record of issue is available. (This record can be obtained from the date slip of the book).

- It is difficult to ascertain the number of books issued to a person.
- In case of loss of library card misuse of the card is possible as borrower's signature is not required.
- Possibility of mismatch of book card and borrower's card if care is not taken in inserting the book card in right borrower's card.
- The system is popular in India because of its simplicity. To overcome some of its limitations many modifications are incorporated by libraries.

Newark Charging System

Newark system also came into use around the same time at the Newark (New Jersey) Public Library. Its positive attributes include accurate files, conveniently located at the circulation desk by the patron's name due date and call number. It can also generate accurate statistical reports and accommodate different loan periods. However it is labour intensive.

The charging routines under this system are the same as are in the Browne system with the modification that in Newark system, book card has a column for recording user's membership number opposite the due date and borrower's card is given back along with the book to the borrower. In the case of discharging a document the date of return are put on the borrower's card while returning the card. In case any fine for late return is due the card is returned only after the fine is paid.

Samples of the Materials used in Newark Charging System

CALL NO.:		ACC. NO.	
Name of the Library			
The Book was issued/due for return on date stamped or marked below			

Size 5"x3"

Fig. 6.5: Date slip

OPEN FLAP
NAME OF THE LIBRARY
BRIEF LIBRARY RULES
1
2
3
4
5

Size 5"x3"

Fig.6.6: Book Pocket

NAME OF THE LIBRARY

CALL NO.
ACC NO.
AUTHOR
TITLE
This Book was issued / is due for return on date stamped or marked below:

**Size 4"x2"
Fig.6.7: BookCard**

NAME OF THE LIBRARY			
Borrower's Id _____			
Date of expiry _____			
NON-TRANSFERABLE			
The following books were issued to me.			
			Signature
Date of issue	Date of return	Date of issue	Date of return

Fig.6.8: Borrower's Card

(Note: These columns are repeated on the back of the card)

Advantages of the System

- A permanent record of type of books circulated and the kind of books borrowed by a member is available.
- The record of number of times the book has been circulated is available at all time from the issue record even when the book is not available in the library.
- It is also claimed that several assistant can carry out work simultaneously, or that borrower can be allowed to borrow books from any branch of the library. But such facilities are also available under the Browne system. The limitation is the number of books a member is entitled to borrow/ already borrowed cannot be checked at the time of issuing a book.

Disadvantages of the System

- The routines are slow and cumbersome as the issue work requires writing membership number on book card and stamping of due date on member's card also.
- There are chances of mistake in transcribing member's number on book card.
- Membership files both serial number wise and alphabetically by name have to be consulted repeatedly.
- Though claim is made that the system is fool proof, it is also said that this advantage may not be always available.

Self Check Exercise

Note: i) Write your answers in the space given below.

ii) Check your answers with the answers given at the end of this Unit.

9) Describe charging routine in Browne system.

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10) Describe difference between book cards in Browne and Newark systems.

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11) Give a comparative account of advantages of the Browne and Newark systems.

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6.3.4 Control Methods for Circulation System

Besides the charging routines the other functions falling under the core area are Reminders, Reservation, Recall, Renewal and Collection of over dues for late return of books. There are standard languages for communicating these, and printed cards for these functions are normally kept at the Circulation Counter for use as per need.

i) **Reservation**

When new collection of books is released for circulation, often more than one reader are interested in borrowing some books. In such situation the first person who expressed desire for a particular book is issued the book and the book is reserved for others to get the book in turn. Each one of the subsequent member is intimated about the availability of the book as and when his turn comes. Sometimes a reader wants a book which is already out on loan. In that case the book is reserved by putting a slip bearing reader's detail in the issue record of the book and the member is intimated about its availability when it is returned by the earlier reader.

ii) **Recall**

When for one reason or other, the library is in need of a book already out on loan, and still not due for return, the circulation section may ask the borrower to return the book to the library. Such practice is called recall of book by library.

iii) **Renewal**

Members who want to keep book beyond due date may get the due date extended either by presenting the book to the counter or by telephone. Renewal is allowed only if the book is not reserved by some other member.

iv) **Reminder**

Sometimes members forget to return books due for return, or deliberately hold the book as they are afraid that they may not get it again. This happens when books are in heavy demand and in short supply. In such cases the circulation counter sends reminders to the concerned members for early return of the books.

v) **Overdue charges**

In order to deter members from holding the books beyond the due date libraries follow a system of levying fine for the period the book has been held up beyond the due date. Such payments must be received against receipt. There have been cases when audit party has asked the library to produce record of such income. The overdue charges are deposited with the central office of the library.

vi) **Inter-library Loan**

Inter-library loan is the oldest form of library network or cooperation among libraries. When a book is needed by a library member which is not available in the library, the library makes a request to a sister library, where it is available, for loan of the book. Such transaction is done on mutual

understanding and under agreed terms and conditions. Normally books procured under inter-library loan are to be used within the premises of the borrowing library. Such a condition is laid to ensure prompt return if the lending library is in need of the same book.

Self Check Exercise

Note: i) Write your answers in the space given below.

ii) Check your answers with the answers given at the end of this Unit.

12) Describe the need for getting books under inter library loan and condition for their use.

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13) Discuss, in brief, the various control methods used by the Circulation Section.

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6.3.5 Records and Statistics

Circulation section maintains various types of records and statistics which play an important role in planning library’s future programmes and policies. The following are some important records:

• **Membership record**

The membership record helps library learn about the type of library users and how the library should build up its resources to meet their information needs. It also helps in organising library’s orientation programme.

• **Circulation statistics**

Circulation statistics is maintained at the counter to serve as guide for increasing the number of copies for books in heavy demand. It also helps in changing the staff strength at the circulation counter.

• **Interlibrary loan record**

Libraries borrow documents from various libraries to meet the needs of its members. It must maintain record of such transactions to ensure its smooth functioning.

- **Suggestion Book**

Library receives various suggestions from members regarding new books, problems in property counter shelving of books, etc. Such suggestions are studied by authorities for taking appropriate action on the same.

6.4 SERIALS CONTROL

Library collection comprises monographs and serial publications. Both are now available in printed form as well as in electronic form. In this Unit we are concerned with the control problem of serials in printed form. We have already studied acquisition of serials in Unit 5 of this block. In this Unit, we shall study routines of the serials control. Serials control is primarily concerned with decisions about the administrative set up and management of the routine for placing order, receipt and recording of issues, and its preservation for easy access by the users of the library. Traditionally the entire routines of acquisition, service and preservation, etc. of serials have been dealt with as functions of a separate department of a library. The rationale for this is sought from certain peculiarities that are identified in serials. Some of the peculiarities are:

- 1) Unlike books, selection and acquisition of core list of serials in libraries is a one time job. Later on it is mostly minor addition and deletion to the core list as annual routine at the time of renewal of subscription.
- 2) Acquisition through agents is generally a preferred method for serials acquisition. Agents have developed specialisation in handling serials and keep themselves up to date with new titles, changes in titles publication schedule and subscription rates and offer various value added services.
- 3) Serials undergo many changes in their life time in titles, periodicity, sponsoring bodies and in resuming publication with gaps. Often their titles create problem because they are only news letter, transaction, proceeding, etc. and need addition of names of publishing institution/organisations to become meaningful.
- 4) Serials are published in parts and need much alertness in receipt of each individual issue of a serial. Failure of prompt claim for non receipt may result into permanent loss of the issue to the library.

Despite these peculiarities, which call for more vigilance by the clerical staff, there is little that calls for a separate management unit to deal with their various routines. W.G. Potter has succinctly explained this point by saying that "... serials processing should not have been divorced from other processing functions to begin with... separate procedure and units for the processing of serials are only called for in a few areas(which) are largely clerical and can be supervised by professional staff responsible for broader functions...".

Once the selection of titles has been finalised, the management routines of serials begin with order then passes through receipt, recoding, technical processing, and providing service and culminate in preservation. Thus, acquisition control is said to involve four routines: ordering, recording or check in, claiming issues not received and dealing with invoices. Order routines deal with three types of order: new subscription, renewals and order for back issues.

Self Check Exercise

- Note: i) Write your answer in the space given below.
- ii) Check your answer with the answers given at the end of this Unit.

14) State the peculiarities of serials that call for separate department for serials management.

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i) **New Subscription**

The first step in placing order is selection of the supplier. We have discussed the advantages and disadvantages of ordering materials through publishers and agents in Unit 5 of this block. Generally orders for subscription are routed through agents. Libraries in India and perhaps most of the non-western countries, subscribe greater number of serials which are published abroad. The libraries have to incur heavy expenditure on postage more so if the subscription is through air. Before preparing order form it is necessary that bibliographical details of each title have been checked for accuracy and completeness of information. For this purpose titles should be checked with reliable authorities such *Ulrich's International Periodical Directory*, the *Press in India* and *Directory of Indian Periodicals*. One may also consult *Union Catalogue of Scientific Serials* (NISCAIR) and *Union Catalogue of Social Science Periodicals* (NASSDOC).

ii) **Order Form**

The order form should have complete information about the serials along with necessary instructions for dispatch and for preparation of the invoice. It should also have indication if the subscriptions are to be renewed automatically until letter of cancellation is received. The following details are considered to be the complete information about a serial title: Title, ISSN, Publishers names and addresses, starting date and volume. Each item should have individual order number. The order form should also have delivery instruction. The titles in the form should be listed in alphabetical order. The order form should be prepared in triplicate, one for the supplier, one for order file and one to accompany the invoice to be transferred to the finance office for payment. The order details should be recorded on the relevant register page/ registration card prepared for recording receipt of the serial's issues. This will facilitate correspondence without looking up the files.

iii) **Renewals and Cancellations**

Suppliers send their check list of titles subscribed or invoice for renewal of subscription much in advance at the last years' rates. They raise supplementary bills for any revision in the rates. In case the library is intending to cancel subscription to any title it must inform the supplier in

proper time before invoices are prepared. In case of failure the library will have to seek credit note for canceled titles. The credit note is to be forwarded to the finance office along with the invoice to work out the amount due for payment. Cancellation order should be from the next volume and not in the middle of the current volume.

iv) **Back Issue Order**

Orders for back issues are for serials earlier not in subscription list or for issues which are lost/damaged, or were not reported when they were not supplied under subscription. Need also arises for ordering supplements which are not covered under subscription.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with the answers in given at the end of this Unit.

15) What are the three type of order for serials?

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v) **Payment and Refund**

Early settlement of suppliers' invoice is recommended for the following reasons:

- 1) It helps to foster good relations with the supplier,
- 2) It ensures continuity of the supply of serials,
- 3) Advantage of special discount may be available under early payment system.

As explained earlier, subscription dues are, in most of the cases, paid in advance. Indian agents for foreign serials are required to make payment to their counterpart in foreign country in advance therefore they ask libraries for advance payment of their invoices.

Some libraries, as a safety measure, enter into a written agreement about the payment and claim refund of the amount paid if supply of serials fails to materialise. The following steps are taken to pass the invoices for payment:

- 1) The suppliers' invoices are checked against correctness of each title, their supply position, subscription rates and, in case of foreign currency, their conversion rates.
- 2) Invoices details are recorded on the receipt record of each title for future reference in case of any dispute.
- 3) Invoices are finally entered in a bill register.

- 4) One copy of the invoice is filed vendor wise, the second copy is filed date wise and the Third copy, which is actually the first copy of the set, is sent to the finance office along with a copy of the order, for payment.
- 5) Credit note sent by the supplier for cancelled subscription should also be enclosed with the invoice.

Self Check Exercise

- Note:** i) Write your answer in the space given below.
 ii) Check your answer with the answers given at the end of this Unit.

16) Describe the payment process of suppliers invoice.

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vi) **Receipt and Registration**

- The mail is checked for address and opened on daily basis. Issues are verified for any enclosures such as credit note, supplementary bill for revised subscription rate. Issues are also checked for correct copy of the serial. Issues with defect or damage are separated and intimation is made to supplier for replacement copies for the same.
- All issues are arranged alphabetically by title for registration.

a) **Registration Process**

Each issue is entered in registration record. There are different methods of registration record beginning with register to ledger to card forms. Libraries select the one they consider more appropriate for their needs. Once the registration is complete and check-in done, Library stamp is put on each issue. Next the issues are sorted for display and for putting in the box/racks for storage. Those meant for display are put up on display racks. Every library decides titles which should be put up for display. Loose issues are either put in boxes or put in storage device. Display racks with built in system for storage under the display planks are also used for storage of loose issues.

b) **Claiming for Non-receipt**

Making claim for non-receipt of serial on due date must be taken up promptly with the supplier. For this purpose registration system adopted must be such that it alerts non-receipt automatically. But before deciding to write reminder each case must be studied for its arrival routines. Possible delay due to postal system working should not be overlooked. Regularity of publication, country of origin, etc. should also be taken into account before writing for replacement. The check-in record should be able to record claim information, for follow up, till the replacement is received. In case replacement is not made, due to un-availability of the issue with the publisher, library may think of acquiring it as back issue acquisition.

c) **Registration Methods**

A number of registration systems are available for registration of serials. Library with small number of serials may use a register where a page is assigned to one title. Register with index pages are available in the market. The index page is used to identify the page on which a particular title is to be recorded. The top of the page has complete information about the serial for ease in correspondence.

A permanent ledger system may also be used for recording purpose. The register with a few pages assigned to each alphabet may be used for recording titles with a specific alphabet. In case of entering titles in numerical order it should be supported by an alphabetic index at the beginning pages. Each of the two register systems will require some sort of check in device for identifying in time non-receipt of a particular issue.

Card systems

The two card systems which are popular in India are known as Three Card System and Kardex system. The Three card system was developed by S.R. Ranganathan while working in the Madras University Library. The system functions with three cards, Register card, check card and classified index card.

A) **Three Card System**

- **Register card**

The top of the card provides complete information about the serial, the supplier and payment details. The lower half and verso of the card has columns for entry on receipt of individual issues. The details recorded at the top help in providing information for correspondence regarding non-receipt, invoice, or any other problem. The cards are arranged in tray in alphabetical order.

- **Check Card**

Each registration card has a corresponding check card. The check card contains the following information: Title, periodicity, volume and issue number, date of reminder, initials of the dealing staff.

Check cards are kept in a tray. The tray has four guide cards for each month to represent four weeks in a month. The check card corresponding to a particular serial is placed behind the expected week of the expected month of receipt of the serial. Once a serial is received and registered, the corresponding check card is moved behind the next expected week of the next expected month. If receipt position of serials is regular all cards behind a particular week would have moved out to behind the next week guide cards. If still one or more cards have not moved out it means issues of these serials have not arrived on due date and a reminder is due. After reminder the check card is moved for placing it behind the next expected week guide.

- **Classified Index Card**

The following information is contained in the classified Index card:

Class number, annual subscription and periodicity; title, vendor and publisher, volumes available; index, etc., supplements, etc. The cards are arranged by

class number. Classified cards show holding of the library for one particular title. These cards also inform the number of serials in a subject being acquired by the library.

B) Kardex

It is the other card system for recoding receipt of serials in libraries. The system was supplied by Remington Rand Co. It comprises two cards, bottom card and top card. The cards are kept in a steel cabinet. Each unit consists of 10 trays, holding 504 card holders possessing sliding dust cover and locking device. For each serial publication there are two cards, namely bottom card and top card.

- **Bottom card**

It contains the following information:

Name of the library, frequency; year, volume and issue number, title, index reminder, volume per year, location, nature of binding, volumes in binding, vol. library has, vol. library lacks, months from Jan. to Dec.

Its function is to inform:

- i) holdings of the library,
- ii) latest issue received in the library,
- iii) gaps in the holdings,
- iv) location of the volumes and issues,
- v) Information of need for reminder.

The card is fixed in the punched holes of the card holder and plastic tab is put at the month when next issue is due. Bottom Card fulfills the following purposes:

- i) Holding of the library,
- ii) The latest issue received in the library,
- iii) Gaps in the holdings,
- iv) Location of the volumes and issues,
- v) The plastic tab indicates when the reminder is due for overdue issues.

Bottom cards are arranged alphabetically by title. Printed on both sides the card provides space for recording 20 volumes.

- **Top Card**

It is fitted opposite to the bottom card and lies on the verso of the next card holder such that when any card holder for a given title is lifted, both cards come face to face with each other. The top card serves the purpose of keeping record of payments made to the supplier. These cards are printed both sides covering information for 20 volumes.

The top card contains the following information: Volume number; date of publication; date of receipt of bill; voucher number; amount of subscription along with date of payment; name of supplier.

Registration method

When an issue is to be recorded the requisite tray of the bottom card is taken out from the cabinet and the date of receipt is noted in the appropriate column, the coloured tab is pushed towards the right side. If the issue is not received the tab remains in its earlier place and after the due date a reminder is issued and a note is given in the appropriate column of the Top Card.

Self Check Exercise

Note: i) Write your answers in the space given below.

ii) Check your answers with the answers given at the end of this Unit.

17) Explain the function of the Check Card.

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18) Explain the structure of Kardex system.

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vii) **Binding of Periodicals**

Serials are published with different periodicity. A serial may complete its volume in six months, in one year or in two years. The span of year of a serial may not always coincide with calendar year. Once a volume is complete it kept for binding both to safeguard against loss of individual issues and also for convenience of use. Although binding has been the traditional method of preservation, the experience shows that binding if poorly done hampers both reading as well as in getting photocopy of the required article. According to Clive Simmond, librarian of the Cambridge University Library, “traditional binding process may not always be either appropriate or possible”. It has been suggested that the issues might be tied up as a bundle and kept in a box. The Library of Congress has developed Phased box constructed out of one piece of acid free card board for keeping serials.

Serial are ready for binding once all issues of a volume have been received. Before the volumes are sent for binding it must be ensured that:

- All issues of a volume are in the bundle.
- Issues are arranged in correct order.
- Papers in the issues with advertisements have been removed from each issue.

- Title, content and index of the volume are placed before the first issue.
- Only section stitching should be done.
- Indication on thick volume that these are to be bound in two parts.

viii) **Technical Processing**

Technical processing of serials which includes both cataloguing and classification are no different from that of monographs. Once the volume is complete and put in the form of a single unit through binding or bundling these are to be classified like a book. The AACR-2 and MARC format have provided guidelines which should be adhered to for cataloguing.

In this Unit, we have learnt how the various functional components of circulation systems are regulated, controlled and operated. The actual operation may vary from library to library depending upon the resources and policy of the library.

We have also seen how the charging methods evolved, and the pros and cons of the two most widely used methods. To facilitate smooth and efficient functioning of the section, the section provides various other services such as reservation, renewal recall, etc. Circulation section also maintains various records and statistics which are helpful in planning library activities.

6.5 SUMMARY

Resources acquired by a library need certain processing before these are released for use and are suitable for access by library users. The processing work is carried out in two parts, physical processing and technical processing. Technical processing is concerned with bringing some organisation in the resources to facilitate easy access to the require materials. After organisation need arises to develop tools which shall help in confirming what is available in the library and where to find them. The technical processing includes classification and cataloguing of the materials. Both these functions are carried out according to certain codes (classification and cataloguing) selected by a library for the purpose. Both the jobs require personnel of high caliber who have understanding of the universe of knowledge as well as the psychology of users in searching materials in libraries. The diligence is not only needed in using the two codes but also in recording the call number at various places in the book but also in filling the cards as per approved filing policy of the library.

The Unit describes the scope and functions of the circulation section. The major function of the circulation section has been charging and discharging of materials available for circulation. To regulate the system for smooth and equitable service the section has developed certain control system. Reservation, renewal and recall are some checks, operated by circulation section. The section also maintains records of books borrowed and returned on daily basis.

Serials are an important part of library collection. But their acquisition and control requires special administrative steps and much alertness. Due to certain peculiarities in their publication their control and preservation is assigned to a separate section. Unlike books there are three different types of serial orders for serials, order, renewal and cancellation. Normally serial suppliers require advance

The Classified Index Card

CI No.	Ann Subs	Per in weeks
Title		
Vendor		
Publisher		
Vol Available		
Indexes, etc.		
Supplements, etc.		

Illustration 4

Cards used in the Kardex System

The Top Card

Title				Department						
Publisher and his Address				Country of Origin						
				Volumes per year						
				Nos. per Volume						
Agent and his Address				Subscription Rate						
				Periodicity						
				Day SUE			Gift/Exchange			
Order		Subscription Particulars				Particulars of Invoice/Bill				Remarks
No.	Date	Year	Number	Date		Number	Date	Amount	Paid on	
				Begins	Exfirs					

Back Volumes in Stock					Binding Record					
Year	Volume	From	To	Vol Nos. Sent		Year	No. of Issues Sent	Sent on	Recd on	Accession No
				From	To					

Title													Subs. No.				
Year	Ser	Vol	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	T.P.	Intls.	

Title													Frequency					Copies Received Till which Period																		
													JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC	JAN	FEB	MAR	APR	MAY	JUN	JUL	AUG	SEP	OCT	NOV	DEC

KARDEX SIGNAL CODEG	}	Graph-A – Matic Signal received Title which period 1/4" Crimped Signals: Red – When Subscription to be Renewed Blue – Foreign Language other than English Pink – Journals Received on Exchange Green – As free copies	Kardex Periodicals Control Supplied by Systems Division REMINGTON RAND OF INDIA LTD.
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Illustration 5

Binding Peculiarities Slip

Title		
Volume Number	Year	Class Number
Covering Material		
Clubbing or Splitting peculiarities, if any		
Assembling peculiarities, if any		

6.6 ANSWERS TO SELF CHECK EXERCISES

- 1) The need for processing is due to following reasons:
 - i) Growth in resources,
 - ii) Emergence of interdisciplinary and multi disciplinary subjects,
 - iii) Facilitates analytical approach in identifying materials,
 - iv) Strengthens materials against deterioration.
- 2) Libraries classify documents due to the following reasons:
 - i) Organisation for efficient access,
 - ii) Restore order disturbed during use of the sources,
 - iii) Facilitates merging new addition,
 - iv) Brings continuity in organisation work.
- 3) The routines of classification are as follows:
 - Checking duplication,
 - Forming basic class,
 - Constructing class number,
 - Constructing book number,
 - Identifying subject headings,
 - Review of call number.
- 4) The areas of bibliographical details of a book are:
 - Title and author;
 - Edition;
 - Imprint;
 - Collation ;
 - Series;
 - Note;
 - ISBN, binding, price.
- 5) Cataloguing is needed due to following reasons:
 - i) Help choosing specific title,
 - ii) Supports multiple approach,
 - iii) Information on amount of materials on a subject,
 - iv) Information on how up-to-date is the material.
- 6) Physical processing refers to various jobs carried out to make a book ready for use by a reader.
- 7) Routines of physical processing are as follows:
 - Stamping,
 - Pasting various special stationary to the book,
 - Noting call numbers,

- Filling catalogue cards,
 - Preparing list of addition.
- 8) Circulation through Day Book or through ledger system presented problem of identifying location of books out on loan led to the development of book card.
- 9) The book and borrowers card are presented to the counter. Counter staff removes book card and puts it in the borrower's card, stamps due date on the date slip in the book and gives the book to the borrower. The book card together with the borrower's card are filed behind date guide in the charging tray.
- 10) The book card in the Browne system contains only details of the book. In Newark system book card has a column for writing membership number of the borrower.
- 11) **Browne system:** 1) Charging process simple, 2) reminder sending easy, 3) issue statistics can be prepared easily, 4) Reservation recalls easy, 5) User's signature not required.
- Newark system:** 1) Record of borrowers uses permanent, 2) Books use record available even when the book is out, 3) Several people can issue books at a time.
- 12) Books not available in library are can be provided to members, the books are required to be consulted in the library only.
- 13) Reservation, Recall, Renewal, Reminder, Overdue charges.
- 14) Peculiarities of serials are as under:
- Core titles are ordered only once by a library,
 - Selection of suppliers is limited to agents,
 - Serials undergo changes in periodicity, title, sponsoring bodies, merge with some other title, and break in publication,
 - Published in parts.
- 15) Types of orders are as follows:
- i) New subscription, ii) Renewals, iii) Back issue
- 16) Payment of invoice procedure includes:
- i) Checking invoice for title, supply position, subscription rate, conversion rate
- ii) Noting on registration record,
- iii) Entering in bill register,
- iv) Enclosing credit note if any,
- v) Transferring to finance office.
- 17) Functions of check card are:
- Keep watch on supply,
 - Keep record of reminder.
- 18) Structure of kardex:
- Consists of two cards, Bottom card and Top card,
Bottom card is used for registration and reminder and Top card contains detail of payment.

6.7 KEYWORDS

- Back Issues** : Serial issues not supplied and not available for replacement; issue supplied but found lost issues not covered under subscription.
- Check Card** : Second card in Three Card System used for ensuring regular supply of serials.
- Check in** : Record for keeping an eye on supply of serials.
- Registration** : Recording receipt of issues received in the library.

6.8 REFERENCES AND FURTHER READING

Evans, G. Edward. *Developing Library and Information Center Collection*. Colorado: Libraries Unlimited, 1990. Print.

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UNIT 7 PHYSICAL INFRASTRUCTURE PLANNING

Structure

- 7.0 Objectives
- 7.1 Introduction
 - 7.1.1 Need for Library Building
 - 7.1.2 Changing Concept of Library Building
- 7.2 Space Needs of a Library Building
- 7.3 Space Management
 - 7.3.1 Utilisation of Space
 - 7.3.2 Financial Resources and Space Requirement
- 7.4 Planning for a Library Building
 - 7.4.1 Building Planning Committee
 - 7.4.2 Location/Site Selection
- 7.5 Quality aspects of a Library Building
 - 7.5.1 Health and Safety Considerations
 - 7.5.2 Impact of Developments in ICT on Library Building Plan
- 7.6 Disaster Management
 - 7.6.1 Fire Preventive Measures
 - 7.6.2 Water Flooding Preventive Measures
 - 7.6.3 Security Arrangements
 - 7.6.4 Electronic Security
 - 7.6.5 Insurance Provision
- 7.7 Library Furniture
- 7.8 Summary
- 7.9 Answers to Self Check Exercises
- 7.10 Keywords
- 7.11 References and Further Reading

7.0 OBJECTIVES

The purpose of a library building is to provide functional space for storage of resources, readers and staff. The space however also performs a social function of providing a place for social interaction among the library users. This social function will continue to remain even after conversion of library resources in digital form. Construction of a library building requires selection of a site, development of design by an architect and construction of the structure.

Care is taken in designing that the building is secure as well as provides an environment that is safe and healthy for all those who are going to use the building.

After reading this Unit, you will be able to:

- describe the changing design in library buildings over a period;
- discuss the purpose and need for a library building;

- explain the process of planning a library building;
- highlight the stages through which the construction proceeds;
- describe the criteria applied in allocation of space for various functions of a library; and
- identify the provisions needed in the building for the safety of resources and for an environment which is not injurious to the health of the occupants.

7.1 INTRODUCTION

Library as a social institution is a reflection of an urge inherent in human beings to record and preserve for wider dissemination of new knowledge acquired through observation, discussion, experimentation and deep thinking. The ongoing search throughout the history in the adoption of new medium for recording knowledge is an indication of desire in mankind to find a medium which is capable of survival and at the same time which could reach a wider public expeditiously. An equally if not more important need was to put these records at a place where it was accessible to people. The place now called library has thus played a significant role in generation, preservation and in dissemination of new knowledge.

Building is one of the most important parts of the library system. The design of library building has been changing from the post World War-I from a monolithic building to a building system scattered over a wide area due to the improvement in storage and communication technology. The Unit covers space requirements for a library and the guidelines that determine the placing of various parts of the library. Clarification has been provided about how a brief for the building is developed into a blueprint for the building and who are the people who are involved in finalising the blueprint. One of the most important decisions in regard to the building is the selection of site for it. The building reaches to completion by passing through the various stages as is explained in the Unit. Apart from provision for information and communication technology needs the building must have a disaster management plan. You will also know the importance of taking up an insurance policy for the library. Library also needs various types of furniture and equipments for carrying out its functions.

7.1.1 Need for Library Building

The need for building arises to house collection of reading materials available in various forms, to provide space for users, who visit libraries in search of information on topics of their interest and also to provide space for staff engaged in the job of acquisition, organisation and facilitation for access to these resources. The above three needs have been traditionally the principal factors behind construction of library building. But the developments during the second half of the Twentieth Century in the areas of information generation, communication and storage and heralding it as the “Information Age” have put a question mark on the very need for buildings. In an emerging “paper-less society” where libraries are going to be “without walls” the very idea of thinking about a building appears to be irrelevant activity. But a deeper reflection on the functions of library makes one realise that such thoughts occur only due to a wrong comprehension about use of library as merely a reading space. Libraries are not wholly or even primarily for information. They are about preservation, dissemination and use of recorded

knowledge, in whatever form it may come, so that humankind may become more knowledgeable. Further, libraries are not providing space for study of recorded information only. Libraries provide an atmosphere for scholarly pursuit. Working in library room also offers opportunity of working among fellow scholars of same discipline .Further, libraries have been extraordinarily successful social space where litterateurs, scientists, artists and art connoisseurs come together to influence and get influenced through exchange of views and ideas. Change in the forms in which information and knowledge are recorded has been changing throughout the history and libraries have successfully adopted themselves with every change. Even talking about the books the facts are that publishing has not come to a standstill position with the arrival of the age of digital sources.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with the answer given at the end of this Unit.

1) State the need for library building.

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7.1.2 Changing Concept of Library Building

If libraries have withstood changes in media for recording information and knowledge from clay tablets through papyrus, silk to palm leaves, to papers and films in frame as well as in spools, surely these are going to survive through the digital era as well. Thus, there has been a need for a building for library through all the various stages through which the recording of human knowledge has travelled and is likely to travel in future.

But the changes in storage design and in communication have also led to changes in design in library building. The style of impressive palatial structure has now given way to functional buildings. The first major change occurred in the Post-War years when fixed building design was replaced by flexible modular structure. Modular design facilitated space adjustment as per requirement of the library. The pressure for space in urban areas on the one hand and space being no more an inherence for transfer if information has thrown up the concept of dispersal of collection. This has brought another change in design. Now, in place of one building providing for accommodation for all types of materials in the collection, collections are stored in a system of buildings. In the face of changes in communication technology dispersal of collection to more than one building is no more a hindrance to access.

The concept of dispersal of building has gained acceptance because of change in the way readers now look at the library. Earlier users regarded librarians as over protective about their collection. Now there is a keen understanding about the role of the librarian in the research process. Emergence of new communication

technology has helped improve the nature of services offered by libraries. Users now want information irrespective of form of document, location of document and time of their requirement. The only criterion is relevance, accuracy and expeditious access. The size of collection of a library has lost its attraction for the contemporary user community. The library, in place of an isolated building, is now part of a library system. Yet another change in users' attitude is development of an urge for contact with scholars who share their interest. In this perspective the contemporary library building has to be an "intelligent library building that maximises the efficiency of the occupants while at the same time allowing effective management of resources with minimum life time cost".

7.2 SPACE NEEDS OF A LIBRARY BUILDING

The first consideration in a new library building is to have a clear idea of purpose of the building. Keyes Metcalf's Planning Academic and Research Library Building, a classic on the subject, identified main purposes for which a building is needed:

- Protection of books and collection of other records from poor environment and mishandling;
- Housing of books and other collections in variety of accommodations for ease of access;
- Accommodation for readers and other occasional visitors who need immediate or frequent access to the collections and services;
- Provision for staff who select, acquire, organise and care for servicing the collection and who aid readers in their informational needs;
- Quarter for ancillary functions such as photocopy services, bibliographic instruction, audio visual material preparation, computer support facilities, etc.
- Quarter for library administration and business offices, such functions as personnel, finance, fund-raising, publications of graphic or signage, building operations, security, supplies, mail and delivery service, etc.;
- Study, research and writing quarters for students, faculty and visiting scholars;
- Space to publicise resources or services through exhibits, lectures, publications, etc.
- Structure to serve as a memorial to an individual and symbolism of institutions academic life in pursuit of scholarly achievements.

Implicit in the above stated purposes are the space needs for a library. We may regroup purpose as below to get the idea of space need:

- Space for users (4, 8,2)
- Space for properly secured collection (1,3)
- Space for staff (5, 7)
- Space for services (6,9)

In the working for requirements of space for above four broad groups we should keep in mind and give provision for:

- Non-assignable space such as entrance lobbies, corridors, lifts well, stairs, etc.
- Space for furniture and equipments be added appropriately under services.

The total space requirement for a library building may be worked out by adding the above space needs with the help of available standards at national and international levels. The major space needs come from storage area for collection, accommodation for the user community and the staff. In planning a library building generally space division between the collection and the user is kept in the ratio of 40: 60. Similarly provision for readers in academic library is kept in the range of 10% to 20% of the total enrolment. In American Universities often it goes up to 30% .The standards developed prior to the developments in ICT, have to be adjusted to the situation developed with increasing use of e-sources .Normal space need of a reader is 25 sq. ft.per reader. But for a computer user this will go up to 30 to 35 sq. ft. per reader. Similarly space calculation for collection storage is 10 ft. per 100 books and 15 ft. per 100 periodical or large size books. The ratio of e-journal and e-books will have impact on space requirement for the collection

The following factors should also be taken into account for working out space requirements:

- Library policy regarding access to stacks (open or closed)
- Net growth rate of collection (addition—weeding out)
- Availability of auxiliary space for storage of collection
- Ratio of electronic resources in the total collection
- Shelving system (compact or ordinary system)
- Policy of participation in net work system.

Self Check Exercise

Note: i) Write your answers in the space given below.

ii) Check your answers with the answers given at the end of this Unit.

2) List purpose of library building as described by K. Metcalf.

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3) Explain how to work out total space requirement of library.

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7.3 SPACE MANAGEMENT

Considerations for Internal Allocation of Space

Internal allocation of space on completion of building requires very judicious planning. The foremost point for division is the ratio between space for reading material and space for user community. The generally accepted norm is a ratio of 40:60. Another point is space requirement for technical and administrative functions. The quality of public service depends directly upon the internal organisation and efficiency of the library. The UGC Committee on University and College Library has given in detailed guidelines for spatial contiguity of different rooms of a library. Anthony Thompson suggests that all the departments should be divided into three areas; Quiet Area, Talking Area and Noisy Area. In space management relationship between the two departments should be based on these characteristics of the area. The following points should be taken into account while deciding allocation of space (Mount, Ellis, *Creative Planning of Special Library Facilities*.1988). ITC system needs space for office machine room for servers and other mission-critical equipments, general work space and room for storage. All these spaces should be preferably adjacent or within close proximity to each other.

- **Noise:** The areas earmarked for study should be far from circulation area. Similarly supervisory staffs require area suitable for confidential communication.
- **Traffic flow:** Movement in, out and around should be kept in mind in placing working areas.
- **Security:** The need for supervision and overseeing of particular area will have an influence on the location for special collection, electronic and other equipments.
- **Convenience:** The areas which are expected to receive frequent visit by staff and users should not be placed in distant corners.
- **Critical distances:** The details of the floor plan layouts will be influenced by standard clearances for furniture and shelving arrangements.
- **Equipments:** Space required for electronic and electrical equipments need special light, provision of fresh air, electrical connectivity and special furniture space for work areas.
- **Interaction:** Requirement of interaction between staff and users will affect the location and prominence of enquiry/ information desk.
- **Economical use of the space:** The need for the economical use of the space may call for a very formal arrangement of seating and shelving space.
- **Lighting:** Interior design, stack location and selection of furnishing are influenced by availability of natural light. Areas with tinted windows will need more provision for light aid. Different functional areas will need provision of different light levels.

Self Check Exercise

- Note:** i) Write your answer in the space given below.
 ii) Check your answer with the answers given at the end of this Unit.
- 4) List the points that should be taken into account in allocation of space.

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7.3.1 Utilisation of Space

Space available in a library building is divided on functional basis. In this context Prof. P.N. Kaula’s proposal with some modification is as follows:

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|---------------------|---------------------------------|
| Service area | Circulation Area |
| | Reference and Bibliography Area |
| | Public Catalogue Area |

The actual space under these areas will be affected by the extent of automation carried out by the library

- | | |
|---|-----------------------------------|
| Study Area/Readers activity Area | Textbook storage-cum Study Area |
| | Periodical Display and Study Area |
| | Electronic materials Study Area |

- | | |
|---|--|
| Administrative Areas/Staff Activity Area | Acquisition Area |
| | Technical processing Area |
| | General Administration including Upkeep and maintenance Area |

- | | |
|--------------------------------|--|
| Collection Storage Area | Main/ Basic collection |
| | Non-book Materials |
| | Official publications
(National/International bodies) |
| | Special Collection Area (Rare materials and photographs, local history, art books, non-book materials, private papers of eminent people, etc.) |

7.3.2 Financial Resources and Space Requirement

The foregoing discussion gives us an idea of space requirement or demand side of the building plan. But a more important factor in finalising the proposal for building is the available financial resources. It is therefore rightly said that a proposal should contain a “sensible wish list”. The capital cost of the building is a “considerable sum of money” which has to be secured and the expenditure must be kept within the agreed budget.

7.4 PLANNING FOR A LIBRARY BUILDING

The process of planning a building begins at the idea level in the mind of librarian, once s/he feels a need for the same. The idea is given concrete shape as a written proposal. The written proposal is thus culmination of librarian’s odyssey to give shape to the idea. The proposal has to be based on:

- a) A close study of functioning of the library over a period of time, taking into account the various bottlenecks that were faced during the past years and, about which one is reminded while peeping into, the annual reports of the library;
- b) A close study of existing literature on the topic;
- c) A wide-ranging consultation with internal staff, management /faculty members, and known experts on the subject;
- d) Visiting libraries to observe adoption of the space and its impact on the day to day services; and
- e) Study of user behavior and preferences based on circulation and reference service statistics, study of user visit and library traffic pattern and study of literature on user behavior and preferences. However user studies should be carefully selected to cover also those studies which relate to the e-sources period, as now there is a marked preference among users for e-sources over print sources.

The written proposal which is called, pre-planning brief is according to Prof. Kaula “a description of the primary elements of design, the interrelationship between the various areas, their estimated size and helpful location. It also describes the philosophy, principles, requirements and limitations of the proposed building”. It includes:

- the general features, the type of library and its status i.e. is it a new developing library, or a new service is to be started at the location,
- nature of users, type, use pattern, purpose, etc.,
- construction features, buildings life span, usual feature, provision for the physically disabled, HAVC system in closed areas,
- special requirements,
- services to be offered.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with answers given at the end of this Unit.

5) List out the points to be considered in pre-planning of library building.

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The idea of the building takes its physical shape by passing through three distinct stages viz. planning, design and construction. There is another, often neglected, stage of post- occupation evaluation *vis-a- vis* the original idea or the pre –planning brief. The British Commission for Architecture and Built Environment has split the stages for construction into *six stages*:

- i) **Preplanning Stage:** Assessing the need, thinking about alternatives, making a case and securing financial resources (librarian’s job).
- ii) **Planning Stage:** Writing and developing architects brief, selection of architect and selection of site (librarian and architect).
- iii) **Design Stage:** Translating the conceptual brief into a working drawing (architect and the librarian).
- iv) **Construction Stage:** The erection of the building (builder, architect and the librarian).
- v) **Occupancy Stage:** Moving in and making the building operational (librarian, furniture, equipment and systems suppliers, removers).
- vi) **Post Occupancy & Evaluation Stage:** (Librarian, architect, the builder and the users).

The actual operation of construction may not proceed exactly in the above described sequence as revision in design may become necessary and occur at any stage.

Self Check Exercise

- Note:** i) Write your answer in the space given below.
ii) Check your answer with the answers given at the end of this Unit.
6) List out the stages through which building reaches to its physical shape.

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7.4.1 Building Planning Committee

Although conceptually library building is the brain child of the librarian but for giving it a physical shape it needs input from diverse quarters. In other words there is a need to have a planning committee comprising representatives of all those persons who will facilitate its construction by providing architectural, financial, aesthetic, and utilitarian view point in its designing. The committee initially constituted may undergo changes as the work of construction proceeds and need arises for such changes. Thus, generally building committee consists of

- librarian,
- architect,

- a representative of the library authority,
- engineer of the organisation/institution, and
- one or two senior staff of the library.

At a later stage involvement of representatives of the user community and an interior designer will prove very productive.

The librarian is to present a comprehensive list of requirements that needs fulfillment by the building. The job of the architect is to translate the idea plane requirements into a functionally elegant interior and aesthetically pleasing exterior of the building. Architect is also expected to ensure economy, both in construction cost as well as the cost of maintenance of the building. The architect also plays a major role in selection of a suitable site for the structure. The presence of the library authority representative will ensure easy flow of required financial resources. The engineer of the parent body shall be helpful in ensuring proper electrical wiring system for the required work stations, server location, and connectivity for monitors and LAN, WAN, etc. User representatives shall provide input for provision of such facilities in the building that will ensure creating an atmosphere conducive for study and research. Library being a furniture and equipment intensive building, planning of functional areas in the building is equally an important part of the planning. The interior designer in the committee shall help in designing functional areas, types and extent of space, location and accommodation of equipment, types of lighting and other electrical and mechanical support systems.

Once the work of construction is underway a team comprising some internal staff and a member of the finance department may be constituted to function as a forum for discussing day to day building- related matters and keep authorities informed on the progress in the work. The committee may also discuss changes necessitated during the construction phase.

7.4.2 Location/ Site Selection

The first step in construction of the building is to select a proper site for location of the building. It is said that a good location is essential to fulfillment of the library's mission of service to its community. The success of a library is principally attributed to the right location chosen through the joint efforts of the planners, librarian and others. The question of selection of site is taken up only after the decision about the functions and the type of building has been finalised. Though the decision is a collective decision of the planning team but the advice of the architect is considered to be of immense value in finalisation of the decision. In addition to the architect's brief the following factors are considered helpful in selection of site:

- **Cost:** In case of public library it is the actual cost and in case of academic library it is alternative uses of the chosen space. But the cost has to be seen in the perspective of accessibility, the travel distance and distribution service point.
- **Accessibility:** In case of public library it should have closeness to public transport system and, convenience of parking facility to physically disable. In case of academic library closeness to faculties is more important.

- **Size and shape:** Site with large space is helpful for future expansion, provides quieter atmosphere, better natural light, and eliminates risk of fire from adjacent building.
- **Relationship with other buildings:** In height, colour, and design the building must blend with neighboring buildings. In case of public library a desire to make the library building part of the other local authority buildings to save on cost.
- **Physical suitability:** Considerations about sub soil water, seismic zone, closeness to river, weight bearing capacity of soil, etc. are important considerations in site selection.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with the answers given at the end of this Unit.

7) State the factors that are required to be considered in selection of site for library building.

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7.5 QUALITY ASPECTS OF LIBRARY BUILDING

Traditionally libraries are categorised as public, academic and special library. The categorisation is based upon the type of users, range of the main collection, and the level and range of services offered by the library. These differences play a role in the design for building. Therefore there cannot be a model building for all requirements and all types of libraries. But there are certain basic requirements which must be ensured in the building design irrespective of category to which the library belongs. Though originally these were identified by internationally renowned architect, Henry Faulkner-Brown, these were later revised by A. McDonald to bring them in consonance with contemporary situation of emergence of hybrid information sources forming part of the library collection. According to McDonald, a library building must be:

- **Adaptable:** Flexible space so that its use could be changed easily,
- **Accessible:** Social space which is inviting, easy to use and promotes independence,
- **Varied:** With a choice of learning environment and between different media,
- **Interactive:** Well organised space which promotes contact between user and services,
- **Conducive:** High quality humane space which inspires people,
- **Environmentally Suitable:** With appropriate conditions for readers, books and services,

- **Safe and Secure:** For people, collection, equipments, data and building,
- **Efficient:** Economic in space, staffing and running costs,
- **Suitable for information technology:** With flexible provision for users and staff.

In addition to the above, the following general considerations may also be taken into consideration in designing a library building:

- People move horizontally more easily than vertically;
- Public services, where possible, are better placed on ground floors;
- All immovable features of the buildings such as elevators, toilets, and stairs should be in one area of the building;
- As far as possible make one facility serve two purposes e.g. provide toilets at a point where they are accessible even when the library is closed.

7.5.1 Health and Safety Considerations

Library buildings, being public buildings are used by people of different age and physical abilities. Generally these are thought to be a safe place. But the building is potentially an unsafe place and therefore:

- a) Proper provision must be incorporated for preventive measures against unsafe conditions in stairs, electrical wiring, and placing of various electrical equipments.
- b) Efficient housekeeping and maintenance must be a regular practice in the library.

In this context the following points need consideration:

- **Air Quality:** The building design must provide adequate ventilation and free flow of fresh air.
- **Stairs:** Stairs and ramps must be secure enough with provision for strong hand railings.
- **Lighting:** Different areas in the library have different lighting requirements which must be provided. Proper and sufficient provision for lighting is essential for the safety of the building also.
- **Equipments and Furnishings:** Provision of adequate aisle width between and around equipments and furnishing must be provided to allow wheel chair access to the bookshelves. Electrical equipments within public access areas such as copying machines, microfilm reader printer, computers, etc. must be properly grounded.
- **Staff Health Consideration:** Working long hours in a building sealed for supporting interior atmosphere often leads to the so called “sick building syndrome” (SBS) or unhealthy reaction in staff. Building design and equipment design selected should bear such health hazards in mind. Chemicals used to control insects and for preventing plant growth, must be regulated and only those should be used which are not harmful to human beings and are legally allowed.
- **Disability considerations:** Building design should be supportive for people suffering from mental and physical impairments such as sight, hearing, and mobility and learning ability.

Self Check Exercise

- Note:** i) Write your answer in the space given below.
 ii) Check your answer with answers given at the end of this Unit.

8) What measures of health and safety considerations are incorporated in the design of library building?

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7.5.2 Impact of Developments in ICT on Library Building Plan

Developments in ICT and its impacts on library services have now made it necessary to incorporate in the building plan, ICT enabling provisions. The library building of electronic environment must be capable of supporting electronic workstation and communication. The planning team should prepare a complete list of electrical and electronic equipments by type, quality and location. Provision for neutralising the HVAC impact on the electronic equipments is an essential part of the ICT plan. The ICT plan will also take care of heat generating capacity of electrical equipments, humidity, wiring and varied light needs to building. For example a video-display terminal requires special lighting arrangement to allow glare-free reading; photo copy machine needs more humidity. It will be better if the planning team seeks advice of an expert in laying out wiring network bandwidth requirement and physical location. An up-to-date documentation of wiring, list of network sockets along with sockets which are operative should be maintained. The major points to be considered for exploiting new access, storage and communication technologies include:

- Number of power outlets more than is thought necessary at first stage of operation.
- A network system that can meet future demands for capacity and diversity.
- Storage and work space for repair and housing equipment in transit.
- Dispersed or clustered terminals.
- Building that permits the flexible installation, moving and adding of ICT system
- Cable/wire management.

7.6 DISASTER MANAGEMENT

Unit 9 presents a detailed account of disaster management. What is presented in this section is a glimpse of disaster management with emphasis on certain preventive measures. Disasters, manmade or natural, have been serious threat to the libraries. The library building therefore must incorporate in its building plan necessary preventive measures for such events. Study of the past disasters has made it very clear that whatever may be the nature of the disaster, the damages to

the library resources occur through water flooding or fire that results in the aftermath of disaster. The building design therefore should provide for safety against these causes. In choosing building site the foremost requirement is to study seismic nature of the area. Disaster management manual should be updated at regular intervals.

7.6.1 Fire Preventive Measures

- Adoption of principle of compartmentalisation of building structure.
- Provide for installation of warning system.
- Furnishing and furniture should be made of fire resistant materials.
- Electrical installations for lighting, power supply and for HVAC system should have quality control certificates and installation should be done by a license holder mechanic.
- Fire Extinguishers, both water and gas operated, and fire suppression equipments should be in place to meet any emergency situation.
- Provision of separate store for storage of inflammable liquid.
- As far as possible avoids wooden furniture.

7.6.2 Water Flooding Preventive Measures

- Building should have sufficient drainage over roof
- No water or drainage pipe over storage areas.
- Basement should be fitted with sump and pump.
- No provision for books or any rare material storage in basement.
- Ensure installation of automatic water warning system.
- Over head and basement plumbing system blueprints should be kept at a safe place for reference in emergencies.

7.6.3 Security Arrangements

Necessary security system should be provided to safeguard against manmade disasters. The interior of the building should provide maximum visibility of the public areas, more so of the rare materials area. Provision of adequate lighting inside and outside the building will ensure maximum visibility so essential for security purposes. Unwanted rear doors should be avoided. Open able windows should have security screen. Arrangement should be made to prevent unauthorised entry in electronic installations and electronic sources areas lest someone plays mischief with stored information. The library should have a system of regular patrolling inside continuous activity of the library.

7.6.4 Electronic Security

Library should provide security against unauthorised obtaining, removal alteration or destruction of computer stored information. In addition to protection against data misuse, security system should have provision against deliberate destruction of computer equipments. A simple way to discourage undesirable use is to place the machines in highly visible and well frequented area. Software's are available to electronically snoop on what users are doing at the computer.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with the answers given at the end of this Unit.

9) State preventive security arrangements needed while planning/designing library building.

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7.6.5 Insurance Provision

Libraries are valuable properties and any loss due to disaster is a major loss. The library therefore must take up insurance policy covering building, equipments, resources furniture and fixtures the negotiation for the policy should be carried out by person knowledge able in insurance terminology. The library must prepare a complete inventory of all insured materials. The policy should be regularly updated for changing value of the materials.

7.7 LIBRARY FURNITURE

The UGC Committee on University and College Libraries has listed the following furniture for a library:

- Book Rack,
- Charging Desk with wicket gates,
- Catalogue Cabinet,
- Study Table,
- Chair,
- Periodical Display Rack,
- Book Display Rack,
- News Papers Rack,
- Encyclopedia/ Dictionary Stand,
- Atlas Stand, Book Trolley, and
- Side Rack for Carrels.

The report was prepared when major part of the collection consisted of printed books. The character of the furniture now needed in libraries has changed under the impact of changing nature of library collection. As far as older furniture are

concerned the need for these types of furniture is still there and the standards for their fabrication are available with the Bureau of Indian Standards. They provide standards for the quality of wood, dimension and materials to be used in their manufacture. Due to increasing addition of non-book materials and electronic publication in library collection some new categories of furniture have become essential. The new requirements for furniture include furniture for computer hardware, for audio and video storage and use, reading tables for microfilms and microfiche. Electronic publications reading room furniture should be suitable for video conferencing also. Reference desk, circulation desk and OPAC desk should be capable of handling electronic equipments and wiring suitable for future when Wi-Fi enabled lap tops will replace the older work station.

Library services now stress on extension services which require bulletin boards, signage display stands, show cases, video conferencing equipments and furniture, public address systems.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check you answer with the answers given at the end of this unit.

10) List furniture required for ICT use.

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7.8 SUMMARY

Building is required to provide space not only for users, but also for stacking resources and for library staff to work and deliver services to customers. The design for the building begins with the brief prepared by librarian. The architect transforms the brief into a blue print. It is based on the space requirement of the library for carrying out its functions, for storage of materials, furniture and equipment and space for readers. The design for library building has changed a great deal from the nineteenth century concept of a monolith structure to a system of buildings scattered over a wide area. The finalisation of building design and the construction work is carried out under the guidance of a building committee composed of librarian and one or two senior colleagues, the architect and representatives of the authorities. The construction work is completed in five

stages. The success of the planning and the building that takes shape depends upon certain qualities in the building such as its adaptability existence of environment conducive to study and research.

The ready space in the completed building has to be appropriated on functional basis among various sections/ units such as reading room, textbook section, etc. of the library. The allocation of space for various requirements is done on the basis of certain guiding principles. National standards are available for space requirements of a library. Similarly there are certain basic qualities which must be there in a building. Library furniture is also prepared as per standard developed for them.

The emergence of electronic sources and developments in communication technology has created a debatable opinion about the futility of constructing a building for library. But such thinking is based on a very narrow concept of library. However, the building must be capable of incorporating and easily accommodating various features and fixtures of latest developments in ICT.

The occurrences of various disasters have now made provision for preventive measures and need for insurance an essential part of library building maintenance. As far as furniture is concerned, it is better to acquire from specialised firms in the country as per need than getting them made by local carpenters, The Bureau of Indian Standard has developed standards for various furniture items. Similarly equipments needed for storage of offline electronic sources are available from firms specialising in electronic goods furniture and equipments.

7.9 ANSWERS TO SELF CHECK EXERCISES

- 1) The main need for library building are as follows:
 - i) Urge in human beings to record and preserve new knowledge and cultural heritage,
 - ii) Need for space for collection, users, staff for service to the collection,
 - iii) Need for a place to stimulate scholarly and creative endeavour,
 - iv) Need for a place to work in group of scholars of the same discipline,
 - v) A meeting point for scholars of diverse disciplines for interchange of ideas,
 - vi) A place for social interaction and for developing intimate human relationships.
- 2) The purpose of library building as described by K. Metcalf are:
 - i) To protect collection from elements responsible for deterioration and loss of collection,
 - ii) Housing collection in various accommodations for ease of access,
 - iii) Accommodation for regular and casual readers, who need access to collection,
 - iv) Accommodation for staff for organisation and service to the collection,
 - v) Space for ancillary functions,
 - vi) Space for extension services,

- vii) A structure to serve as memorial to a social or scholarly personality,
- 3) Major space is required for users, for collection and for staff is:
- estimated on the basis of national and international standards,
 - Space for users is calculated at 25 to 35 sq.ft. per user depending upon whether readers have access to computer or not,
 - Space for storage is calculated at 10 ft. per 100 books and 15 ft. per 100 periodicals,
 - Space is provided for readers between 10% to 20% of the total enrolment,
 - Space allocation between collection and users is kept at the ratio of 40:60.
- 4) The main points that should be taken into consideration in allocation of space are:
- Noise: Study area should be away from circulation counter,
 - Traffic Flow: Working areas should be located in far corner,
 - Security: Special collection electronic equipment and such other areas needing vigilance should be located from where supervision is easy,
 - Convenience: Areas needing frequent visit should be centrally placed,
 - Critical distance: Floor plan should incorporate standard clearances for furniture and shelving arrangements,
 - Equipments: Equipments areas should have provision for light, air and connectivity provision,
 - Interaction: Convenience of interaction between staff and users determine placing of enquiry desk,
 - Economic use of space: Seating and shelving arrangement should be formal,
 - Lighting: Different functioning areas will need different lighting arrangement.
- 5) The following points are to be considered in the pre-planning stage of library building:
- a) Close study of working of the library over a period of time,
 - b) Study of literature on the subject,
 - c) Consultation with staff, faculty and experts in the field,
 - d) Visiting libraries to study space use,
 - e) Study of user's behavior over a period.
- 6) The stages through which building reaches to its physical shape are:
Preplanning stage, Planning stage, Design stage, Construction stage, Occupancy stage, Post-occupancy evaluation.
- 7) The factors that are required to be considered in selection of site for library building are: Cost of site, Users accessibility, site size and shape, Relationship with other buildings, physical suitability of the site.

- 8) The measures of health and safety considerations are incorporated in the design of library building are: Air quality, stairs, lighting system, adequate aisle to allow wheel chairs, well grounding of heavy equipments, provision against SBS development and care in use of insecticides, provision for mentally and physically handicaps.
- 9) The following preventive security arrangements are needed while planning/ designing library building: Maximum visibility in public areas, adequate lighting inside and outside the building, avoidance of unwanted rear doors, open able windows to have security screen, check point at electronic equipments and electronic resources areas, regular patrolling in the building, security against unauthorised access to computer stored information areas.
- 10) The following furniture is required for ICT use: Furniture for computer hardware, for audio and video storage and use, Microfilm and Microfiches reading and storage, furniture for video Conferencing, Circulation Reference and OPAC desks with provision for use of electronic instruments and connectivity for Internet.

7.10 KEYWORDS

- Auxiliary Space** : Space required for nonfunctional areas such as toilet, wardrobe room.
- Dispersal System** : Building plan where building complex is scattered over distant areas.
- Equipment Intensive** : Having a variety of equipments.
- Fixed Building Design** : Design where space use cannot be changed.
- HVAC** : Heating Ventilation and Air Conditioning.
- ICT** : Information and Communication Technology.
- Modular Design** : Design based on self contained unit which allows use of unit's space.
- Paperless Society** : Society where paper ceases to be carrier of information.
- SBS** : Sick Building Syndrome i.e. sickness due to long stay before computer in environmental controlled building.
- Social Space** : Place where users of different disciplines get an opportunity to meet one another.

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UNIT 8 MAINTENANCE AND PRESERVATION

Structure

- 8.0 Objectives
- 8.1 Introduction
- 8.2 Need for Preservation
 - 8.2.1 Definition of Preservation
- 8.3 Causes of Deterioration of Library Materials
 - 8.3.1 Internal or Inherent Causes of Deterioration
 - 8.3.2 External Causes of Deterioration
 - 8.3.3 Common Causes of Loss of Digital Data
- 8.4 Preventive Preservation
- 8.5 Physical Maintenance, Repair and Binding
 - 8.5.1 Preservation of Intellectual Content
 - 8.5.2 Binding
 - 8.5.3 Maintenance of Collection
- 8.6 Stock Verification
 - 8.6.1 Advantages of Stock Verification
 - 8.6.2 Disadvantages of Stock Verification
 - 8.6.3 Methods of Stock Verification
- 8.7 Weeding
 - 8.7.1 Aims of Weeding
 - 8.7.2 Criteria for Weeding
 - 8.7.3 Barriers in Weeding
 - 8.7.4 Weeding Process
- 8.8 Summary
- 8.9 Answers to Self Check Exercises
- 8.10 Keywords
- 8.11 References and Further Reading

8.0 OBJECTIVES

After reading this Unit, you will be able to :

- describe preservation as an integral part of library management;
- discuss possible reasons for overlooking preservation needs in libraries in the past;
- explain the factors that have brought preservation to the centre of library's management of resources;
- identify various methods of carrying out stock verification; and
- discuss the advantages and disadvantages of stock verification.

8.1 INTRODUCTION

Preservation of library material is as important as collection building. Libraries are considered to be social memory of the society. Their survival is important for the generation and preservation of knowledge. However, the base for recording knowledge and information are perishable materials. These are affected by light, temperature, environmental pollutants, biological agents and human beings. In order to adopt measures that will ensure survival of the collection we must understand the role of these elements in causing deterioration and damage to library materials. In this unit we shall study how library materials gradually deteriorate, what are the factors that contribute to their deterioration and what measures should be adopted to prevent their deterioration.

The basic purpose of library collection is:

- To serve as source for providing information and knowledge to library users visiting library in person as well as those seeking the same through phone or e-mail.
- To function as a place of accumulation of human knowledge as part of the academic and cultural heritage of society. To serve the above two purposes the library performs two functions: a) Provide access to its resources and services with the help of various tools developed for the purpose, and b) Adopt various methods to ensure availability of the resources to the future generations. An efficient preservation of library collection, therefore, is an integral part of the management of library resources. In fact it is as important as acquisition and organisation of the resources.

Prior to the middle of the last century, libraries concentrated mainly on acquisition, organisation and facilitating access to the collection. However preservation in a way was implied in organisation as well as in facilitating access to the resources. Organisation of collection is planned, taking into consideration the need and behaviour patterns of the users. Obviously while organising the resources care is taken to safeguard it against damage. Resources are sorted by size, by nature of information, by category of users, etc. Most of these decisions ensure their normal safety from inadvertent action on the part of staff or users. Similarly in planning access, care is taken to ensure safety for all the resources including rare and fragile materials. But till the middle of the 20th century preservation as a planned mission in library management was paid very little attention.

Preservation or conservation, as it was called earlier, as a distinct activity was mostly associated with archives. Unlike libraries, archives had a distinctly stated preservation mission. An archivist, according to Sir Hilary Jenkinson, “has to take all possible precautions for the safeguarding of his archives and for their custody...Sir Hilary called it as the primary duty of the archivist”. In the past, preservation was confined to binding of damaged books and/or lamination of fragile documents or manuscripts. Most books on library science discussed binding in much greater detail than preservation. In the past preservation was restricted to segregation and selective access to fragile and rare materials. Conservation was the generic name used to what we now call preservation and the preservation got its due attention in management of library resources in mid Twentieth Century. If we could identify one single factor that was responsible for this change it was the publication of *Deterioration of Book Stock: Causes and remedies* by William J. Barrow in 1959. Barrow disclosed that the raw material used for manufacturing

paper from the early 19th century was wood pulp which contained lignin a chemical substance and cellulose fibers. Lignin is chemically unstable and readily deteriorates when exposed to high temperature and humidity. Since most of the books published from the early 19th century onward were printed on paper made of wood pulp they were going to be unusable by the next century. The disclosure alerted the national level organisations in the Western Countries to the imminent danger that the libraries were facing. The U.S. Council on Library Resources funded several research projects on the problem .The Library of Congress, which found it was losing through deterioration around 77000 books a year because of the poor quality paper on which they were printed, launched a massive de acidification programme. The British Library supported Dr. F. Ratcliffe’s project *Conservation: Need, Resources, Policies and Programme in British libraries (1982-1983)* on preservation at the Cambridge University Library. The European Community published a report entitled *Library Policy for Preservation and Conservation in European Community* in 1988.The US established Commission on Preservation and Access in 1986. In 1987 a film, *Slow Fire* was also made for general awareness.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with the answers given at the end of this Unit.

1) State how awareness about preservation developed in the 20th Century.

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The occurrences of a few natural disasters in quick succession causing large scale damages to some major libraries of the world also alerted libraries towards problem of preservation. The flood in River Arno in 1966 that submerged the world famous collection of Bibliotheca Nazonale in Florence, in flood water and which made UNESCO organise rescue and restoration work for the Library on international scale, also catalysed the situation in favour of preservation. UNESCO came up with its Memory of the World Programme with explicit aim of promoting the preservation of documentary heritage of mankind. IFLA launched its programme on preservation, known as PRESERVATION AND CONSERVATION (PAC) at the Vienna Conference on the Preservation of Library Materials in 1984. The goal before the PAC is to “ensure that the library materials, published and unpublished, in all formats, will be preserved in accessible form as long as possible”. Since its formation, PAC has held many regional level conferences; it has now shifted its headquarters from the Library of Congress to the National Library of France, Paris and opened regional centers at Washington, Caracas, Canberra, and Tokyo. It is also publishing a biennial news letter *International Preservation News*. In India a related activity was formation of Indian National Trust for Art and Culture (INTACH) in 1984. It has established a conservation centre in collaboration with the National Research Laboratory for Conservation of Cultural Property at Lucknow.

8.2 NEED FOR PRESERVATION

Libraries have suffered damage and deterioration of their collection throughout the history. Sometimes the cause is natural disaster and other times it is man-made, such as war. But silent damage through deterioration of paper, the leather used for binding and through bacteria, cockroaches and rodents have also been wide spread under preservation. Even then preservation as a major problem was not much discussed. Albeit need for preservation, by the name care for books, are found in books on Library Science. In fact, in early nineteenth century, quality of material available for recording words were superior and hence could overcome deterioration due to internal causes. This situation continued even during the period extending from 8th century to the beginning of the 19th century when paper had replaced all other media as base material for recording knowledge. Identifying the responsibility of a librarian, John Durie (1650) said that “to build collection, care for them and be dispenser to apply them for use”. Randolph G. Adams wanted librarians to demonstrate a greater appreciation of books as an object of art”. He expected librarians to accord “special treatment to rarities” and guard rare books against possible misuse by “unqualified reader”. Books were chained with almirahs and one can still see chained books in some old libraries like the Library of Oxford. Dr. Ranganathan also had called care of books as the first service of the library in his book *Reference Service (1940)*. Thus, for a long time care and service, i.e. access, were considered of equal importance. Care was given rather more importance. Perhaps care had not yet become interchangeable with preservation, though concern among the librarians for safety of material did exist. It was not yet sacrificed for the sake of providing access.

By the end of the Second World War there was great surge in scientific research which brought better library service to the centre stage. Education was spreading in the society and thereby increases in demand for books. Libraries were under pressure for efficient access to results of new researches. Emergence of indexing service, documentation, SDI services, user education, open access, etc. on the one hand, and developments in technology like Xeroxing and microfilming on the other led to the balance of service swing in favor of access to the negligence of care i.e. preservation. However around this time major world libraries discovered that a sizeable part of their book collection belonging to the period from 1830 to early years of the 20th Century was under imminent danger of being lost due to acidic nature of paper on which these were printed. Surprisingly, the need for preservation now received worldwide concern. Libraries have been always considered social memory. Therefore, Ranganathan (1940) called preservation as a social need and emphasised the need to identify library as a social memory because it:

- helped transmission of knowledge to future generations,
- helped in the cumulation and further building up of knowledge from generation to generation,
- helped in the contemporary development of knowledge without any wastage,
- building of knowledge by unintended and purposeless repetition of effort and consequent wastage in research potential of humanity.

The essence of Ranganathan's views were echoed by John Agresto of the National Endowment for Humanities (US) in 1986 when he said "preservation of library and archival material is essential politically for the well being of democracy, for availability of primary source materials as a basis for good teaching." He further added that "preserving the past is useful and practical to us living". The preservation was now getting recognition as an important part of library management.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with the answers given at the end of this Unit.

2) Explain why Ranganathan calls library social memory.

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8.2.1 Definition of Preservation

There has been much confusion with regard to the exact connotation of the two terms, conservation and preservation. Both have been used to describe activities in which libraries engage themselves to protect collection from deterioration and damage. The confusion could be traced to earlier their being alien to the profession of librarianship. For considerable period these terms have been referred to in the context of protection of archival materials only.

Preservation in the modern usage refers to applying all the various methods and techniques and ensuring such climatic environments, including ways of their storage, as would prolong life of the artifact as well as content of the materials. According to Clayton and Gorman "preservation is a generic term and includes all activities associated with the maintenance of resources and preservation of information content. This is in contrast to conservation which refers to the treatment of the artifacts in order to extend their usable life". The use of the term preservation to denote an all inclusive effort is rather of recent origin. Until the last two decades of the 20th century the term conservation was used to describe "all attempt to prevent damage or deterioration or further damage to library collection. Preservation referred only to specific effort to not merely to stop but to reverse the various negative and unwanted effects of destructive chemicals and other agents that could destroy the library materials". The function of repairing "physical structure of the document" or the "artifact" to its original condition was restoration. As stated above, these terms were more frequently used in the context of archival materials. Even now the term preservation has not completely replaced conservation to refer to encompass all activities adopted to protect the library resources. Among the conclusion of Ratcliffe's report "*On Preservation Policies and Conservation in British Libraries*" one conclusion reads "Libraries should seek to inculcate conservation as a major policy matter..." (conservation impinges on virtually all aspects of library activity and given an appropriate

order of priority is very much a policy matter). Under conclusion to the recommendation is “libraries should press for the inclusion of education for conservation within the curricula of library schools...” The National Conservation Advisory Council, US has also used the term conservation as an all encompassing term which includes examination (assessment of items), preservation (action taken to retard ...deterioration... by control of their environment and/or treatment of their structure) and restoration (action taken to return a deteriorated... artifact as nearly as is feasible to its original form....” In a situation like this it is safer to use the three terms – preservation, conservation and restoration in the sense in which IFLA has used them in its publication *Principles for the Preservation and Conservation of Library Materials* (1986).

Preservation includes all the managerial and financial considerations including storage and accommodation provisions, staffing levels, policies, techniques and methods involved in preserving library and archive materials and information contained in them.

Conservation denotes those specific policies and practices involved in protecting library and archive materials from deterioration, damage and decay, including the methods and techniques devised by technical staff.

Restoration denotes those techniques and judgments used by technical staff engaged in making good of library and archive materials damaged by time, use and other factors.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with the answers given at the end of this Unit.

3) Explain why preservation was neglected for a long time.

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8.3 CAUSES OF DETERIORATION OF LIBRARY MATERIALS

The problem of preservation in libraries is a challenging job due to changing nature of its collection. For centuries new information and knowledge recorded on paper constituted almost the only form of library collection. It was only since the later years of the 19th century that the nature of the collection began to change. Microfilms joined paper to accommodate back volumes of serials and news papers. Microfilms were also used to create surrogate for manuscripts and other valuable materials. The introduction of audio-visuals in teaching brought in wax cylinder and shellac discs in libraries. Magnetic tapes and discs as compact storage devices were followed by optical media in the form of tapes and discs.

Each material has its own span of life and its chemical components. Deterioration in the material occurs due to change in its chemical composition. The causes of change may be inherent in the nature of the chemical components of the base material or may be catalysed by certain external factors.

8.3.1 Internal or Inherent Causes of Deterioration

Internal causes in fact exist in structure of the material concerned and work from within to lead to deterioration or disappearance of the recorded information.

Paper-based materials

Deterioration of the paper-based materials in the library collection, as a major problem, became a matter of concern for librarians in the middle of the 20th century. It was more serious in case of books published between mid 19th century and early 20th century. The reason as had been revealed by John Barrow was the structure of the wood pulp based paper. The strength of the paper depends on: a) length of the individual fiber, b) strength of bonding of fibers, and c) the process through which pulp is made. Wood pulp contains most of the chemical ingredients of the wood such as lignin which contain acid. Similarly resin used in sizing of the paper also contains acid salt. In order to obtain gluing effect aluminum sulphate was used. Papers manufactured from wood pulps are therefore acidic in nature. When they come into contact with high temperature and humidity two main types of deterioration, namely hydrolysis and oxidation, set in, leading to deterioration of paper. Hydrolysis takes place because of the presence of alum, an acidic material. Oxidation takes place from presence of small particles of metals that creeps in from paper making equipments during paper making.

Ink

Ink used in printing from early 19th century began to be made of iron gall which contained ferrous sulphate. Through oxidation it forms sulphuric acid. Ink together with paper's acidity leads to loss of text from the paper.

Leather

It has been found that leather used in binding after 1830 lacked protective salt earlier available in leather. This was due to change in method of tanning under pressure for more leather by the binders. Such leathers become dry over a period of time and begin to break up.

Photographs and Films

“As the production of photographs has many different chemical processes in the capture of the image, photographs, also have a wide variety of aging properties. Some materials were made of extremely self destructive components”. Cellulose nitrate films emit nitrous gases. The gases are not only oxidative but also toxic and explosive. In a self destructive process the film base and emulsion are eventually destroyed. It is inflammable at a fairly low temperature. Cellulose acetate films emit acetic acid vapor that acts to accelerate the rate of decay of the films. Motion picture films in rolls if in containers and lack ventilation have a tendency of self igniting.

Self Check Exercise

- Note:** i) Write your answer in the space given below.
ii) Check your answer with the answers given at the end of this Unit.
- 4) Explain why paper in old books deteriorates.

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8.3.2 External Causes of Deterioration

External causes have been categorised quite differently by experts. The following are however some common causes:

- Light, Temperature and Humidity,
- Environmental Pollutants and Dust,
- Biological agents and Disaster.

Ross Harvey adds human being cause as a cause/ important factors to the external causes. IFLA, has included magnetic stray field, Fire, water and theft and vandalism to the list due to increasing share in recent years, of non- book materials in library collection and human cause and other disasters are discussed under the heading mechanical forces.

R.S. Singh has categorised external causes under the following four groups:

- Physical agents: light, moisture, heat and particles
- Chemical agents: acidity, gaseous pollutants
- Biological agents: bacteria, fungi, insects, rodents
- Accidental agents: flood, fire, etc.

Ranganathan has identified fire, water, vermin and human beings as the four enemies of library. Increasing use of technologies such as AC, facilities for photocopying and microfilming added some additional external factors for deterioration of library collection. The nature of the internal causes of deterioration is such that it can be only slowed down but cannot be reversed. But the deterioration or destruction due to external causes can be checked if precaution against the probable cause is taken in anticipation of their occurrence or if the cause is removed.

Light

Light causes deterioration in three ways—through intensity, through exposure of the material under light for longer hours in a day and through longer period over a year. The two extremes of the light spectrum carry ultra violet and infra red radiation. Both are known to be as deteriorating agents for library materials. The ultra violet radiation from light causes photochemical deterioration in library materials. The infrared radiation heats up environment causing reduction in

humidity and dryness in the materials. Light speeds up rate of oxidation in paper. It may also bleach paper and ink and cause fading of images. Light makes paper containing lignin dark. It may affect dye layers used in recordable and erasable discs.

Temperature and Relative Humidity (RH)

Temperature and relative humidity are linked parameters. Both play major role in preservation. Simultaneous fluctuation in the two parameters is very harmful for the life of the library materials. Being organic in nature, materials expand and contract as moisture levels changes. But compared to fluctuation in temperature, fluctuation in relative humidity has a much greater impact on collection. Excessive humidity leads to proliferation of fungus in all organic, mechanical and magnetic carriers. Low humidity level leads to dehydration in library materials and makes them brittle and in case of films emulsion may fall of the supporting base. Control of RH is even more important in libraries and archives with photographic materials. Too high RH makes emulsion sticky, glass may turn foggy, and photograph on metal base may begin to corrode. High temperature accelerates deterioration process in all kinds of library materials. The resultant dryness leads to evaporation of humidity, making environment dry, which makes paper, leather and some plastic-based materials brittle. High temperature also speeds up chemical reaction in all library materials including nitrate films, cellulose acetate films and colour films. It also leads to dimensional change in magnetic carriers and affects optical carriers, eats up pigment layers of magnetic tape and floppy discs.

Biological Agents

Biological agents include mould, insects and rodent. Mould weakens and stains paper, and obliterates images. Insects like cockroaches, silverfish, termite and beetles cause damage to library materials all over the world. Rodents make their nest in books and harm library collection by shredding pages of books. The damage caused by insects and rodents are irreparable. Mould and fungi obstruct reading of optical information, eat up pigment layers of magnetic tapes and floppy discs. The damage through these agents remains unnoticed till it reaches such a level that it becomes beyond any corrective measure.

Air Pollutants

Air pollutants also called environmental pollutants in the form of gases, like sulphur dioxide or nitrous oxide and ozone, emitted from factories or motor vehicles cause deterioration through acid attack or oxidation. Solid pollutants like dust dirt and sand particles are abrasive in nature and are also source of growth of biological agents. They also help acid formation in materials. In case of mechanical carriers, dirt and dust may lead to deviation of pickup stylus from its proper path causing audible cracks. Through the process of aberration they attack the integrity of the carriers. Magnetic tapes and discs are affected by dust particles as they may prevent intimate contact for replay heads to media. It may also cause head crash to computer hard discs. Dust prevents proper reading of recorded information on optical carriers.

Human Causes

Human beings cause damage and deterioration through various acts of omission and commission. Library materials are damaged both by library staff and user

community. The impact can be seen under the following broad heads:

- Negligence and lack of respect for the material
- Theft
- Vandalism

Staff Negligence

Staff negligence can be identified at various stages: a) at the stage of planning building such as lack of provision against effects of ultraviolet and infrared radiation; b) in maintenance of building and equipments such as overlooking regular cleaning and dusting in stack areas; c) maintaining poor security system for library assets, awarding binding job to substandard firms; d) organising environmental system with an eye for comfort of readers rather than protection of life of the library materials. Carelessness in shelving and moving of materials, etc. sometimes inflict very heavy damage to the library materials.

Negligence by User Community

Developments in printing technology have created a situation of plenty in availability of books and the respect for books has gone down in the same proportion. Paper editions have created an attitude of “read and throw” among the readers. As a result, underlining, tearing out pages and chapters, using books as pillow, putting it on window sills are some common practices among the users. Repeated exposure of books to ultraviolet radiation in photo copying, defacing illustrations and their mutilation are some other examples of damage perpetrated by the user community.

According to UNESCO existence of an attitude of negligence in staff is mostly due to lack of training in preservation techniques and lack of understanding of consequences of negligence. The need for training has become more important in view of ever growing importance of machine readable material and increasing use of technology in libraries in recent years. The training should be organised on an ongoing basis. Users should also be educated through signage and posters and by holding occasional exhibitions of damaged materials.

Theft and Vandalism

Library collection suffers irreparable loss through theft specially theft of rare materials. Thieves generally take advantage of carelessness of staff. Often they befriend staff to gain access to restricted areas and wait for suitable opportunity to strike. The New York Public Library caught a woman in Brooklyn who had kept 800 books of the Library. The greatest thief of library books, Stephen Bloomberg is said to have stolen 22000 books from 327 libraries.

Vandalism includes damage to library building as well as its collection during wars or due to mob fury on the so called ideological grounds. In many cases it has been found to be a case of simple deviant behaviour.

Magnetic stray fields

“Stray magnetic fields are the natural enemy of magnetically recoded information. Sources of such dangerous fields are dynamic microphones, loud-speakers and head sets. Also magnets used for magnetic notice board, etc. possess magnetic fields of dangerous magnitudes”.

These are natural enemy of magnetically recorded information and must be kept away from magnetic optical discs. The safe magnetic field for analogue audio recordings is AC Field 400 amp. Per mt. and DC 2000 amp. Per mt.

Mechanical Deformation

Mechanical deformation takes place in mechanical and magnetic carriers due to mishandling of replay equipments. In case of mechanical carriers it results into scratches and distortion in groves while magnetic carriers suffer severe deficiencies in play back process.

Disasters

A disaster, natural or man-made, is an unexpected event which puts library collection at risk. Its damaging impacts are through fire or water flooding. In both cases books either burnout or become wet and, unless rescued immediately, become unusable. The loss from disaster is not confined to only books. A major disaster like wind or rain storm, earthquake or tsunami play havoc with buildings may cause flooding the building or result into major fire and even loss of human life. Few libraries have thought of disaster management policy or have developed disaster retardant plan. Such plan includes resistant measures in the building at the planning stage as well as taking such precautionary steps as ensuring safety of rare materials, provision of fire extinguishers and water sprinklers and sump pump in basement. The library should have a telephone tree, i.e. list of important phone numbers for contacting fire office, police and insurance agency and firms supplying materials required to meet emergency situation. Unit 9 deals with disaster management in greater details.

The library must have a permanent programme of disaster management. This will include regular inspection of risk areas i.e. roof, gutters etc. for possible clogging; fire extinguisher system and air conditioning plant, etc. should be professionally maintained. The library also must have an emergency plan to ensure that in case of disaster the essential human expertise and materials for rescuing documents are available.

Security Systems

Building design must incorporate all the various provisions for security of the library assets and collection. Rear windows should be fortified with iron bars. Entry and exit points should have efficient and vigilant security staff. Monitoring of reading rooms, especially rooms for rare materials should be done on an ongoing basis. Library should have enough lighting arrangements. All Keys should be with authorised persons only.

Self Check Exercise

Note: i) Write your answers in the space given below.

ii) Check your answers with the answers given at end of this Unit.

5) Explain how temperature and relative humidity affect library material.

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6) Explain what you understand by staff negligence.

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8.3.3 Common Causes of Loss of Digital Data

Digital preservation to prevent digital decay is yet most spiritedly debated issue. Apart from physical deterioration, obsolescence of hardware, software and storage medium and failure to save crucial format information may cause digital decay and loss of entire content of a digital document. Generally, digital data are much less 'self-archiving' than print documents, and often they require more human efforts to describe and to provide context for interpretation.

Accidental Erasure

Loss of data occurs when a file is accidentally closed without saving it or when we write over the file while we are thinking that we are saving it. It may also happen when one is in the process of changing a file and there is a sudden rise in power supply.

Virus and Worms

Worms and virus may invade computer via e-mail, diskettes, CD when one opens attachment with the mail. If a virus reaches a programme file the programme fails to function properly. Worms corrupt hard drive by copying their file over and over again leaving no space on hard drive.

Power Failure

Loss of data is also possible if there is a sudden power failure and no UPS or battery support is available for computers.

Software Life

No matter how new is your computer system the software becomes obsolete within eighteen months to three years therefore one must back up data on regular basis and keep the system and software application discs stored somewhere accessible. Sometimes hardware's compatible to the software are not available which makes data inaccessible. The BBC created digital data on life in Britain in 1986 to commemorate 900 years of creation of Doomsday Book by William the Conqueror but now it cannot be accessed because the relevant hardware is not available. In addition, the tapes of 1975 Viking launch mission to Mars, and Space shuttle's obsolete software and storage media are some of the examples where digital preservation was found to be fragile. Digital data preservation is largely experimental and replete with the risks associated and untested methods.

8.4 PREVENTIVE PRESERVATION

We have already discussed the factors responsible for deterioration in the previous unit. Here, we shall describe some preventive measures to be adopted for protecting the material from the deteriorating effects of each factor. The aim of preservation is to keep the information resources as close to its original condition as possible, and where it is not possible to transfer them to new format to prolong their accessibility. “The ideal environment” for preservation “ of collection is the one where the temperature and relative humidity are controlled, which is free from pollutants, which has good ventilation, where light is controlled, which is free from mould, insects, and rodents, magnetic stray fields and where good maintenance and security practices are applied”.

Light

To protect library materials from the infrared radiation of direct light, windows should be fitted with sun blinds, shutters, films or should be fitted with special kind of glass available for this purpose. Fluorescent tubes should be fitted with organic filters or with sleeves. Documents should be kept away from heat sources emitting infra red radiation. Light intensity for fragile graphic materials should not exceed 50 lux.

For materials on display in show cases light should be 50 lux for 8 hours and must not exceed three months in a year. Heritage materials should be divided into categories of sensitivity to light and relative humidity and their total hours of exposure should be as per international standard. Reduction of infrared radiation from a) natural light area should be achieved through additional equipments (shutter blinds, films, fitting of special type glass, b) In artificial light area should be achieved by keeping documents away from light sources, use of organic filters for fluorescent lamps and mineral filters for halogen or metallic halide lamps.

Temperature and Relative Humidity

The ideal level of temperature and RH for most of the library materials are:

Temperature	18 C°	± 2 C°
Relative Humidity	50%	± 5%

Each of 10C° decrease in temperature shall double the life of the materials. High or frequent change in temperature in environmental condition should be avoided as they will damage library materials. Relative Humidity should be stable. Fresh air movement or environmental control devices can reduce pockets of high relative humidity. Photographic collection should be divided into active and passive collection and passive collection, consisting of the originals should be kept at low temperature and low RH.

Atmospheric Pollutants

The library should provide for air cleaning in stack areas. Ongoing arrangement for effective cleaning and dusting of the whole library will ensure minimum deterioration caused by dust particles. Vacuum cleaner should be used only if it is fitted with absolute filters. Solid particles also can be checked by filtering the air coming from outside. Air ducts should be regularly cleaned to avoid dust or soot built up.

Biological Agents

The most effective way to keep the biological agents at bay is to maintain temperature and relative humidity at the recommended level. Regular cleaning of the library and its surroundings, free flow of fresh air will further improve the situation. Organic packaging materials of mechanical or magnetic carriers, and food items should not be permitted in the library. Water leakage of drainage pipes should be checked as they help develop dampness. Rodents should be controlled through regular inspection of the building for their nest and by using mouse trap. Use of insecticides are said to have temporary effect. Use of thymol and similar chemicals are now banned in most of the countries. According to Ross Harvey current practice is to avoid chemical controls wherever possible. Instead, reliance is placed on a programme of integrated pest management which incorporates environmental control, the use of freezing of affected materials and ongoing inspection and monitoring to detect the presence of pests and harmful environmental conditions.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with the answers given at the end of this Unit.

7) Explain what you understand by preventive preservation. What precautions are required against biological agents?

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Maintenance

Regular check up of building will include checking of drainage pipes, roof, electric fittings, etc. for their proper functioning and for carrying out required repair for fault. Regular collection checking will help spotting items for binding or repair or for transferring to rare collection. Equipments need checking lest they may result into some major accident. Inspection of emergency plan for the library at regular interval is also important part of maintenance work. Physical maintenance including preventive preservation is discussed in detail in the subsequent section of this unit.

Preventive Preservation; Special Category Documents

Photographs

Photographs should be kept in envelop or box which are free from lignin and oxidative residual chemicals. The collection may be divided into active and passive collection, active being the surrogate. The passive collection comprising the originals is kept at very low temperature. The active collection comprising surrogates should be available for general use.

Mechanical Carriers

Phonograph cylinders and shellac discs should be handled only by specialist personnel to keep their grooves undistorted. It must be protected from careless handling of replay equipment.

Magnetic Tapes

These are often damaged in replaying and therefore, replaying equipment should be maintained professionally to ensure against malfunctioning. Magnetic tapes should be protected from dust to ensure contact of replay heads to the media.

Optical Carriers

These include CD ROM, CD-I and CD-V, Optical Discs, Tapes and DVD. These are affected by high and low temperature and humidity. CDs must be handled with utmost care keeping in mind their mechanical integrity, and kept in special storage cartridges. In case of some carriers light may affect the dye layers used in recordable and erasable discs. Dust and dirt prevent the proper reading of the recorded information.

Electronic Publications

These are both off-line as well as online. Off-line are subject to the same influence from deteriorating factors as other magnetic carriers. In case of on-line databases the real problem is that of acquisition, selection, storage and access and not of preservation. However two preservation methods have been suggested:

Technology preservation strategy i.e. preservation of the original software and possibly hardware.

Digital migration strategy i.e. re-encoding digital information in new format before the old becomes obsolete.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with the answers given at the end of this Unit.

8) Explain preventive measures for special category materials.

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8.5 PHYSICAL MAINTENANCE, REPAIR AND BINDING

Library materials are both artifacts and intellectual content. Preservation of library materials deals with both aspects of the materials. But the two aspects are not always of equal value. Often a situation arises when the decision about the preservation has to overlook protecting the body of a badly damaged document

and in order to protect the text it needs reformatting in a microfilm or in digital form. Similarly sometimes a document is more important as an artifact and has to be protected in its existing form overlooking value of its intellectual content. Many books illustrated during the Mughal period are valued and deserve preservation not as much for the text as for the miniature paintings, or for binding art or for their calligraphy styles by a master calligraphers. An important part of the total preservation work is to pay attention to “those aspects of in-house physical maintenance and repair that prevent needless deterioration and return damaged items to useable condition”. However these aspects are, broadly speaking concerned only with preservation of artifacts and here too mostly the paper-based materials, more specifically the books. According to Ross Harvey the preservation work falls under two types of activities; a) refurbishing and collection maintenance, and b) binding.

Refurbishing and Collection maintenance

Refurbishing refers to carrying out thorough cleaning of each material in each shelf of each almirah. The cleaning operation should also cover the surroundings, the equipments and furniture. The process may reveal need for replacement of certain equipment or even repair. It may also help to upgrade the storage facilities for the books, adoption of better quality equipment such as humidifier, dehumidifier. Refurbishing is a sure way of identifying books which need only repair or full binding. The process helps to become aware of need for transfer of some more books to rare collection. Refurbishing is carried out with gap of few years.

On-Going Collection maintenance

The on-going collection maintenance activities are the same as that of refurbishing with the difference that a) these are yearlong activities, and b) the emphasis is on regular cleaning, tidying up of books and making them upright. The idea is to have every item in the collection examined at least once in two years.

Repair

Repair work involves preliminary examination of items to decide about the repair needs. The actual work of repair begins with first, cleaning of the materials and then patching torn areas with strong acid free paper. The paper used should be as near transparent as possible. The Japanese papers are more suitable for repair work. The adhesive used should be good archival type adhesive.

8.5.1 Preservation of Intellectual Content

An essential component of preservation is the reformatting the intellectual content of a material or a group of materials. Reformatting is transferring the text of the material in new form in which it is accessible for future use. It is usually done to make accessible the contents of a material which due to deterioration in its physical form is now beyond repair and restoration. However, sometimes reformatting of a material or a whole group of materials is also done due to original being too valuable and rare that it is likely to be damaged if made available as a matter of routine. Yet another situation when reformatting is done is the one in which the reformatted text is made to keep it as a safe copy to be available if somehow or other the original lost in a disaster or due to some other accidental factor. In brief the “four main reasons for reformatting are: physical condition of the material;

how heavily it is used; its rarity; and its economic, aesthetic, historical or other value”.

Reformatting can be done in any one or more of the three forms: a photocopy; a microfilm; and in a digital form. Microfilm is preferred over the other two as it is easy to store, is considered more durable and unlike digital material does not need relevant hardware/software for use. But reformatting being an expensive process complete bibliographic record of the material reformatted must be maintained to avoid repetition of the process for a material already processed.

8.5.2 Binding

Binding of Library materials is an integral part of the preservation of collection. Resources acquired by library need proper care to keep them useable for long period. Materials of certain categories are such that they need binding even before they are to be put in shelf for the users. Small pamphlets and paperback edition of text books are some examples. There are other resources which are received by library and if left unbound certain parts may disappear leaving the same incomplete. Major binding work in libraries is concerned with binding of books although periodicals are also bound when a volume is complete. A large number of books demands binding due to heavy use which results into deterioration of original binding. Very often carelessness in handling by staff and/ or users also results into disintegration of section and pages of the materials creating need for its binding. Binding is developed from a craft into a fine art. Many old books are specimen of binding art. But we are not going to study binding done as a piece of art.

Objectives of Binding

The following are some of the objectives for binding:

- To avoid damages to materials from mishandling.
- To safeguard materials against wear and tear of use.
- To avoid shabby looking face of materials.
- To preserve perishable and frail materials.
- To make materials attractive for the users.

a) Styles of Binding

The various styles of binding include Case binding, Library style, Flexible Style, The Sunk cord Style, Limp Binding, Loose-Leaf and Guard Books. Case binding is normally done by publishers. The text is sewn separately and when ready it is put in a Case of Cardboard covered with cloth. In library style the Card board is of split kind and is fastened in the text unit with tape inserted in between the split board. Flexible style is used for books that need fine binding. It involves exceptional technique in sewing, cutting and covering. It displays raised lining on spine numbering five, seven or nine. The style was popular till early Twentieth Century. The Sunk cord style required grooves cut in the spine to sink cord so that they are not projected above the spine. This makes binding extremely elegant. Spine and cover are decorated with gold impressions from finely cut tools. But the styles are weak for ordinary handling. Limp binding refers to books bound with vellum wrappers without hard covers, vellum extending beyond the normal squares

enclosing the foredge completely. Many devotional books, especially the Bible, are still bound in this style.

b) **Kind of Binding**

Libraries generally use library style for library materials. These are done in various kinds such as full leather, half leather, full cloth, half cloth and board binding. The library style which is a preferred style in libraries is not an elegant style, but it fulfills its purpose of withstanding heavy and constant use. Each type is selected as per quality of book and its preservation need. While the sewing method of leather and cloth categories is the same it is the covering materials which changes. Leather and half binding are more durable and are preferred for expensive books needing preservation for longer periods and also for reference books which are in heavy use, such as dictionaries, encyclopaedias and bibliographies. Cloth binding is less durable and is preferred for books likely to be available after some time in new edition. Coffee table books also normally get full leather binding. Pamphlets, being of small number of pages, are given board binding. Libraries prefer quality binding for their books. Library quality binding is also called reinforced binding. The Joint Committee of American Library Association and the Library Binding Institute have recommended details of reinforced binding quality. Dr. Ranganathan has also recommended reinforced binding as binding for library books. Normally heavily used books, such as text books and books of fiction deserve frequent binding.

The expenditure on binding is a heavy charge on library budget. Libraries have therefore developed certain criteria as guiding principle for selecting books in need of binding. The following are some criteria that help in selecting books for binding and deciding about the kind of binding that should be given to each material:

- Kind of the book— rare, manuscript, fiction or non fiction,
- Present value of the book,
- Future value of the book,
- Possibility of new edition becoming available, and
- The existing physical condition of the material to bound.

Based on the above criteria some books such as paperback edition or periodical volumes are released for circulation only after they are bound.

Reinforced Binding Process

The work of binding is divided in two parts, forwarding and finishing. Forwarding covers the operations required to complete the binding and finishing is embellishing it with a title and decoration.

Collation: Books received for binding should be first collated for completeness of the pages and their being in correct sequence. Before starting binding, all worn out, soil, torn and damaged pages should be carefully restored with Japanese tissue paper.

Sewing: Sewing should be done one sheet on. Linen and threads used should be unbleached separate leaves, plates, etc., should be first mounted on guard of linen and sewed like a section.

End papers: End papers used should be good tough opaque paper of approved mild colour.

Cutting Edges: Edges should be cut accurately leaving margin.

Forwarding: Unless otherwise advised all books should have French joint and tight or close flexible backs with the covering material attached directly to the back. Tapes are to be firmly inserted between split boards.

Lettering: Lettering also called finishing is to be impressed in best gold directly on to the materials which cover the book.

c) **Materials (Consumables) for Binding**

Binding craft requires use of various materials. Some of these have only one use while others are needed at different stages. Being organic in origin, these are affected by environmental condition. The binder must be aware of their acidity value before selecting an item for use. The acidity or alkalinity is measured on pH scale has a range of 0 to 14. The following are some materials which have major role in binding work.

Adhesive

Adhesive is a material which is used in almost every stage of forwarding. Many factors that are involved in its selection include durability, water content pH value, power of penetration and adhesive properties. No adhesive will satisfy all binding operation. Paste of root and cereal origin is a stronger adhesive. Organic gelatin and flexible glue are also used. From the middle of the last century synthetic glues have become more favorite with binders. However these should be avoided in fine, old and valuable books because of the difficulty of repair work in future.

Board

Board serves the need for guarding the text from the two sides of a book. Board quality is determined by the thickness or its weight. Various types of boards are available. The following are some often used boards:

- Mill board, Strawboard, split board and pasteboard.
- Millboard is very strong and durable. It is capable of bending without cracking and has satisfactory pH value. Millboard is used in all leather binding.
- Strawboard is manufactured from straw, sand and lime. Because of lime content it resists industrial atmosphere. It is used in case binding of low priced books.
- Split board is made of millboard and straw board. Straw board is on the inner side and mill board is on the outer side. Split boards are used for library reinforced binding. The slit is used to insert tapes after which the two are firmly glued.
- Paste board is manufactured from chemical wood pulp, esparto grass and other fibers according to quality. Usually it consists of laminated layer of thin white board or it may have a core of poor fiber lined on both sides with good paper. It is used chiefly for mounting.

Cloth

Mull is an open weave cotton material stiffened with size. It is used to reinforce any material to which it is attached by an adhesive. It is used extensively for strengthening the spine of book and reinforcing maps and documents. Buckram a closely woven linen of cotton cloth and is used as cover for good quality binding. Rexine or leather cloth is now used as cover for children books.

Leather

Quality of leather is very important for the durability as well as beauty of binding. Leather used in binding are known by the name morocco, pig skin, Vellum and parchment. Morocco is a general name given to goatskin. It is the most popular leather for quality binding work. Printing Industry Research Association, US, has developed standard for suitable leather. Standard quality leather carries stamp of PIRA to assure that in its preparation no injurious chemical has been used. Calf skin is used for its delicacy and beautiful finish but it is not as durable as morocco. Pig skin is considered strong leather and has been in use for centuries. Vellum and parchment are made from goat and calf skin. Its life is very long but it is easily affected by climatic changes. Vellum binding are beautiful, but Vellum is a little transparent and to subdue transparency it is lined with handmade paper.

Paper

Paper has been called the basis of the craft of binding. Decorative paper is used for the sides and end papers of books. Japanese papers are used extensively for repairing damaged papers or mending and replacing torn or missing parts of leaves. Paper used for binding should have a minimum pH value of 5.5 for the binding to be sound and lasting.

Thread

Linen thread which is made from flax fiber is much stronger than cotton thread and is preferred for reinforced binding. Now a day's synthetic thread are much in vogue. They can stand environmental variations better than linen or cotton.

Binding of periodicals need special attention in collation. In fact there is a view point that periodicals should not be bound. The arguments to support this view include delay that it causes to scholars in their research work; bound volumes deprive other readers from reading articles in some other issues of the volumes; create problems in getting photocopy of articles. It is suggested that secondary types of binding such as wrapping in a bundle and putting in boxes may provide safety and ease of use. But such binding suffers from the dangers of losing issues. Before taking up binding, presence of all the issue must be ensured. Superfluous pages containing advertisements should be removed. Title pages and content pages should be placed at the beginning and index pages at the end. The binding should be such that the pages of the volumes can easily lie flat for photocopying.

Binding is a time consuming process and calls for maintaining accurate record at the circulation counter for regular reference. The file containing the list of books arranged author-wise and book card arranged in classified order should be carefully maintained. Once the bound volumes are received from the binder each individual book/ volume is checked for the quality and correctness of style and for completeness of the text. Before sending the materials for shelving, pasting of due date slip, library label and book pocket is carried out and the relevant

book cards are placed in the respective books. Some libraries maintain a register for keeping a permanent record of materials sent for binding to satisfy the audit requirement.

Self Check Exercise

Note: i) Write your answers in the space given below.

ii) Check your answers with the answers given at the end of this Unit.

9) Write the considerations that determine need for binding a book.

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10) Describe why some people do not favour binding for periodicals.

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11) Describe the various style of binding.

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Binding library materials is an integral part of the library’s preservation programme. Constant use of books and journals results into wear and tear of the materials. If not bound in time it may result into total loss to the library. Binding is, however, an expensive function and materials for binding should be identified with much care. There are certain considerations which help in this work. There are a number of binding styles developed over a period of time. The one preferred in libraries is called library style. Binding of periodicals requires special attention. Collation in binding work is an important function.

8.5.3 Maintenance of Collection

Maintenance of collection is an important function in collection management of library. In the absence of maintenance any arrangement of the materials shall collapse and the collection will not only become inaccessible but even deteriorate. Maintenance of collection involves two actions. At first the collection has to be

grouped according to certain characteristics in the documents. It is called arrangement by sequence. Next it is arranged in each broad group, in a systematic order based on certain scheme developed for classification of knowledge. It is called shelf arrangement. The arrangement has to be simple in operation and efficient in providing access to the desired document. Without organisation the mere richness of collection has no meaning for the user community. A rational organisation in collection is the sine qua non of an efficient library service. The next function of maintenance is making provision for the sustenance and preservation of the collection.

Arrangement of Material in Sequence

Information materials in libraries are varied in subject as well as in their physical form and format and hence they can be arranged according to their varied internal and external characteristics. In other words, these characteristics play an important role in arranging materials in sequence.

Internal Characteristics

a) Nature of contents

While most of the library materials are for sustained reading, there are some documents which are used only for looking up a certain formula, a data, a brief write up, an event, a person, etc. Such documents are put in one sequence called Reference Sequence. Library also acquires materials which are written as essential and recommended reading in a course study for students preparing for examination. These books are placed in separate sequence called Text Book Sequence.

b) Level of Content

Books meant for readers of a certain age group or for those belonging to a special category of readers, such children or adult, are grouped under Children Books Sequence or Adult Learners Sequence.

External Characteristics

a) Size

Though library shelves, of fixed type unit racks, are made to accommodate books of normal size, ie. 5.5"× 8.75", books in libraries come in a variety of dimensions ranging from very small books to some of a very large dimension. If small size books are accommodated in these shelves it will amount to wastage of shelf space. Large size books cannot be accommodated in these shelves. To solve this problem libraries create two sequences called Under Size Sequence and Over Size Sequence.

b) Infrastructure needs

Non book materials, which include microfilms, microfiche, tapes, Braille books, CDs, DVDs etc., need some sort of equipment for their use in libraries. These are therefore, kept in a sequence which may be called Non-book Material Sequence.

c) Security Needs

Manuscripts, personal papers of eminent personalities, autographed classics, are always kept in closed stacks. Access to such materials is provided under

vigilance. It may be called Special Sequence or Closed Sequence. Materials which are available for open browsing and borrowing are arranged in Open Sequence.

In addition to the above sequences, libraries often collect together materials from various sequences to build up a **Temporary Sequence** on the occasion of certain events such as a thematic conference in the campus, a major social or political event, or celebration of a centenary of an eminent personality. Sometimes an iconic figure like Mahatma Gandhi and Nelson Mandela can be the theme and libraries may go for **Permanent Sequence**. Dr. Ranganthan has given examples of GANDHIANA and NEHRUANA.

Arrangement on shelves

After the decision about placing the materials into such broad broken, the library has to arrange the books on the shelves under each sequence. It is called shelf arrangement. Traditionally one of the three types of arrangements is followed in libraries:

i) Classified Arrangement, based on one or other standard schemes of classifications

Classified arrangement is widely used throughout the world. Adoption of classified arrangement is very helpful in meeting the user need to browse and select material on topics of their interest. The system satisfies the needs of readers looking for specific books and also of those who are looking for literature on an area of their interest.

ii) Alphabetically by author or title of the books

Alphabetical arrangement, whether by author or by title, is simple to operate and it does not involve problem of fixing order as is required in classified system. But this system is more helpful in a small library or in a library where authors are the subject of study such as the Sahitya Academy Library.

iii) Serial number as per accession register (Accession number)

Arrangement by serial (accession) number is practical in library with a few hundred books like private circulating library where an unqualified person has to look after the library single-handedly. Sometimes even large libraries arrange fiction in alphabetical order in an independent almirah amidst racks where other books are arranged in classified order. Such arrangements are called Broken Order Arrangement.

Once the division in groups, i.e. sequence making and shelf arrangement in each group has been accomplished, the next job is to provide for maintaining or sustaining the order of arrangements and for preservation of the collection from, both internal and external damaging agents. From preservation perspective, the job of maintenance assumes more importance in libraries.

Shelving though mainly concerned with restoring order in the shelf through replacement of books received from circulation and from technical section, also contributes to the conservation and preservation of library materials. The duties of the shelving unit include shelving, shelf rectification and refurbishing.

Shelving

The aim of shelving is to put back books earlier removed from a shelf for reading or borrowing, to their assigned place. Broadly speaking the routines of shelving include cleaning and dusting of books, moving over books in the shelves create space for new addition in the same subject area. The shelving staff should:

- Strengthen the shelves constantly,
- Keep all books in a straight line by pushing books backward and forward,
- Keep the spines of books parallel to the front borderline of each shelf,
- Eliminate “lean” by pushing the loosely shelved books from the right to the left,
- Leave 20% space in each shelf empty,
- Use book support for partly filled shelf.

The shelving staff is expected to regularly dust the shelves and clean the books before putting them back in shelves. Daily dusting part of the shelves contributes to the preservation of collection.

Shelf Rectification

Shelf rectification of stack area is done to ensure that materials remain in their assigned place and they are in good shape is of paramount importance in open access system. It is carried out at fixed intervals. It includes the following routines:

- i) Maintenance of correct order in shelf,
- ii) Ensuring presence of book card, due date slip, book tag in their place and in good shape, and replacement of the missing ones,
- iii) Identifying titles severely damaged for replacement,
- iv) Identifying titles in need of minor repairs.

Refurbishing of Stacks

Refurbishing refers to organising through cleaning of the entire stacks. “An active and well organised refurbishing programme is a vital maintenance activity in library”. The work is carried out once in a year. However, it can also be organised as a routine by selected by choosing part of the stack area for a week or month. In selected areas all books are removed from the shelves. Each book is replaced after cleaning. Damaged books are removed and separated in to more damaged books needing professional conservation. These are assigned to the professional conservators. Books which can be repaired locally are repaired and put back in the shelves.

Self Check Exercise

Note: i) Write your answers in the space given below.

ii) Check your answers with the answers given at the end of this Unit.

12) List internal and external characteristics for sequence determination in book stack.

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13) Explain the formation of Temporary Sequence of book stack.

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14) Describe the duties of shelving staff.

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8.6 STOCK VERIFICATION

Stock taking or stock verification is the physical check up of the total collection at regular, mostly annual interval. During stock verification, borrowers are required to return books they have borrowed; libraries are closed to the user community. Books are verified with the help of accession register. On completion of checking list of missing books is prepared and placed before the authorities for writing off of lost material. In school and small college libraries, librarians are often made to accountable for the loss and in some cases even made to pay for the lost books.

The concept of stock verification might have its origin when books were scarce and were to be strictly guarded for their safety. Librarian was supposed to be more a custodian of the stock than a facilitator in providing access to users to their desired information. A system of counting the number of volumes at regular interval was in place to ensure that all the copies were in place. The attitude was understandable in the period when books were hand written and papers were yet to be made by machine. Even after the printing was invented books were printed page by page. With the advent of printing press and paper made by machine, the scarcity gave place to plenty. But the change in attitude takes time. The tradition of annual stocktaking persisted till the recent years when countries in the west replaced it with evaluation of collection. The accreditation bodies are not interested in numbers of book added or number of volumes issued. Now they ask libraries to show evidence of difference that collection has made to the service and “has help meet the institutional mission and goals”. It is held that a properly done survey gives library opportunity to see its strength, its weakness, the direction in which it has been developing and how well the collection is adapted to its clientele.

In India also various committees and commissions, both official as well as non-official, have spoken against the futility of stock verification and the injustice of holding librarian responsible for loss of books. But the attitude of authorities has

only partially changed as is evident from the circular dated Feb. 2, 1984 issued by the Department of Expenditure, Ministry of Finance. According to the circular “the position of the library books is different from that of other store”. But the circular still insists for annual stock taking for libraries with collection up to 20000 books. Libraries with collection above 50000 are allowed taking verification every five years.

8.6.1 Advantages of Stock Verification

Stock verification helps in:

- 1) Identification of lost books in a library.
- 2) Opportunity to staff to get more acquaintance with library collection.
- 3) Identification of titles needing repair/replacement, etc.
- 4) Identification of titles fit for discarding.
- 5) Help rectification of record such as catalogue, shelf list regarding missing books.
- 6) Identification of titles in need of tag, due date slip, book card replacement.
- 7) Understanding effectiveness or otherwise of library security system.
- 8) Through dusting of shelves and cleaning of books.

8.6.2 Disadvantages of Stock Verification

- 1) Stock verification is a lengthy process, therefore, the library remains closed for a long period.
- 2) Patrons are required to return books borrowed from the library.
- 3) Accumulation of work in acquisition, technical processing sections.
- 4) Despite the best possible security system, no library can claim zero of books.
- 5) Staff time is wasted in futile activity.

8.6.3 Methods of Stock Verification

Stock verification or checking of resources against the inventory of resources can be done in many ways. Some important methods of stock verification are discussed below.

i) Stock Verification with Accession Register

A team of two persons is constituted to carry verification. One Person reads the accession number loudly; the person holding the register locates the number and puts a tick mark on the number, preferably, with pencil. This process is carried out through all the stacks holding library collection. On completion of the round on the books in the stacks, similar checking is done with issue record at the circulation desk as well as with the list of books sent for binding. The next step is to prepare a list of titles not ticked in the register. If the library has a policy of regular stock taking at a given interval, say one year or five years, the new list is tallied with the list of the immediately preceding year. Items which are in the previous list are struck off from the new list to get the final picture of loss.

The method of carried out with care is the most reliable and perfect. But in actual practice it suffers from many frailties:

- It is cumbersome and tiring as it calls for opening of pages back and forth each time a number is to be located.
- There are chances of accidentally putting tick mark on wrong number.
- Sometimes a book originally tick marked as missing is suddenly located but after it had been cancelled from the register. The only way is it re-enter it at a new number.

ii) **Dummy of Accession Register**

To save the original accession register from getting shabby with cutting and marking stock verification is carried out with a dummy of the accession register. A plain register with serial numbers printed in columns on each page is used for stock verification. The team proceeds with register to the shelves and one person speaks accession number of the book and the other person tick marks the relevant number in the register. The whole process is repeated as explained above. Next all left out numbers are checked with the accession register to get the bibliographic details for the missing numbers.

The method saves the actual register from getting dirty but the chances of making wrong number still persist. But it is a time consuming method as the bibliographic details are to be added to know the missing books.

iii) **Stock Verification with Book Card**

The method needs formation of two teams to carry out the work. One team collects book cards from books and arranges them by serial order of the accession number on the cards. The second team tick marks the relevant accession number in the register and replaces the card in the books after they are re-arranged in classified order. The entire collection is verified and at the completion of checking the list of missing books is prepared from the accession register. The method leaves the register clean but the method is very cumbersome. Another way to conduct Verification is to prepare two book cards at the time of preparing a new book for circulation. Keep one set in a catalogue tray arranged in classified order. The cards may be of two different colours. At the checking time the spare cards kept in the tray may be put in the book pocket along with the original book card. The book cards left out in the catalogue tray on completion of checking will show the missing books in the collection. Both the above two methods are time consuming.

iv) **Numerical Counting Method**

The simplest method of stock verification is to count the total collection available in the library, add to it the books out on loan and with the binder together with books awaiting processing and compare the figures with the number of book in the accession register. The difference will be the number of missing books.

The method, however, does not identify the actual titles that are missing from the collection. It cannot be of help in replacing the missing books.

v) **Stock Verification with Shelf list/card**

Shelf list is an additional catalogue of collection which is arranged and kept in exact parallel way of books in the library, sequence wise as well as shelf wise. The work of stock verification is done by a team of two persons. One person tells the accession number and the other person shall raise the corresponding card in the tray. In this method more than one team can function simultaneously, each taking up one sequence for the checking work. On completion of the checking work a list of missing books shall be prepared with the help of cards which have remained in the tray unturned.

Stock verification with shelf list give more reliable figure of missing books. It also takes less time as no turning of pages or putting tick mark is required in the method and more than one team can carry out checking work.

vi) **Sample Stock Verification**

Sample stock verification is carried out to get an idea of the vigilance system of the library. One may choose one of those subject areas which are more prone to mischief such as fiction, art books or music score. Any one of the various methods of verification may be adopted for this purpose. If the result shows more than normal loss total verification may be taken up.

vii) **Stock Verification through Blank Slips**

Stock verification through blanks slip is very much like the verification with book card with the difference that instead of book card uniform size slips are used. Accession number of each book in the shelf, in issue record and other places are recorded on each slip. Slips are arranged in serial order of accession numbers. The arrangement reveals the missing accession numbers. The list of missing books can be prepared with help of accession register. However the system requires much alertness in collecting the slips and during their arrangement in serial order.

Pre-Condition for Stock Verification (by some methods are)

- Circulation Work is stopped and issue records are frozen in the existing condition.
- Entry of staff other than the verification team to the stack and issue record area is closed.
- The verification work is not done in broken stages.

Stock verification is supposed to be an annual activity of library to see if library collection has remained intact and if all the materials are in good condition. In the western countries stock verification has been replaced by stock evaluation. In our country it is used as a punitive action and has been used as weapon against librarians in school and even college libraries. There are some positive gains in conducting stock verification. But gains have to be weighed against cost in terms of man hour devoted to the work and loss of service. Among all the traditional methods, stock verification with shelf list appears to be the most efficient. Yet in modern days, most libraries conduct stock verification quickly and at low cost without much disturbance to service and without closing down the library using library management software and portable bar code readers attached to data storing devices.

Self Check Exercise

Note: i) Write your answers in the space given below.

ii) Check your answers with the answers given at the end of this Unit.

15) Discuss the alternative to stock verification.

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16) Describe the disadvantages of stock verification.

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Precautionary measures against loss

Having carried out stock verification in a library, the very first question to be asked is that ‘are the existing precautionary measures against loss of library documents enough? and is there any scope to take further precautions?’ (This may even be one of the objectives of the stock verification). The preventive and precautionary actions normally cost much more than the value of loss. The usual precautions taken at the time of planning a library is to operate with one exit cum entrance, not allowing personal belongings inside the library and covering all windows of the building with suitable wire mesh or metal grills to avoid passing books through windows. Additional precautions like a check point at exit gate with a person and/or vigilance manpower including security guard, magnetised document checking/ burglar’s alarm and other electronic book security system, CCTV, insurance against loss, etc. cost substantially to the organisation in addition to being not fool proof. What additional precautions are to be taken depends on how much additional expenditure (i.e., in addition to the cost of stock verification) the organisation is willing to incur. Here two things need special mention. Firstly some of the costs like salaries of vigilance/ checking staff are often invisible. Secondly, any physical check by a security guard in reputed institution may not only bring resistance from users but also makes an ugly show. Apart from intensifying vigilance, another positive approach propounded is to liberalise services like extended library hours during examination time, liberal or subsidised photocopying service and liberal lending of books marked ‘not to be issued’.

It is natural to raise a question as to how library books are lost. Mysteriously, it becomes almost impossible to pin point at any individual or set of individuals. Nor it is easy to catch red-handedly such thieves. Where they are caught also, surprisingly the legal process is so fragile that it becomes difficult to establish a

theft. Any way librarian is not a police officer. While discussing various security methods Pierce (1980, 271-249) says "... maintaining the security of library materials has changed from a minor irritant to a major problem. Many libraries have discovered that they are losing more than one percent of their collections each year [and] vandalism, arson and wanton destruction have become more common in libraries and will probably continue and even possibly increase".

An analysis of types of books lost and the distribution of value of books lost as against the strength of collection and average cost of books acquired should provide some guidelines about type and nature of books lost the need for vigilance, the need for change in arrangement and organisation of collection.

Responsibility and write-off of loss

After accepting and probably implementing wherever possible the additional precautionary measures against loss of library documents the ordeal does not end. No precautionary measure without fully undermining the service function in an open access library can ensure total elimination of loss. A negligible number of perverted, possessive, habituated persons responsible for loss and mutilation are likely to continue in spite of liberalised services and strict vigilance. Further what has already been lost and what is going to be discovered as lost in the future stock verifications need to be explained to and got write-off by the competent authority. At this stage the question of who is responsible for loss of library documents often surfaces with an indirect hint at librarian or librarian together with his staff. In some libraries, the librarian may be directly held responsible for the loss.

Loss of moveable property, stores and consumable is a universal phenomenon. Individuals, institutions, departments, public and private enterprises incur loss of many types of moveable property, stores and consumables. An individual library user, who loses a book borrowed from the library pays the 'replacement cost' to the library, rightfully and sometimes vengefully feels that what is lost by librarian should be made good by librarian. But s/he conveniently forgets to distinguish librarian as individual user from librarian as a functional head of the library.

In no other area of loss like that of minor equipment and consumable in any organisation so much of fuss about responsibility of loss arises as it happens in case of loss of library documents. As such stock verification is covertly viewed as a tool to punish librarians. Librarian in the process of providing service to users antagonises those who loose documents borrowed in their names and earns a psychological dislike or hatred by recovering the 'replacement cost' of documents. It is extremely rare to see a situation in an organisation where recoveries are made for loss of minor equipment and consumables even though they are issued in the names of individuals for keeping in their exclusive possession.

Compared to the magnitude of losses in many types of stores items in an organisation, the loss of library documents is meager. Secondly the stores items including smaller equipments would have been kept under exclusive possession in lock and key and there may not be a need to share them with others. In fact, many times books issued to individual departments are also lost. Further all other types of items are subjected to strict security with gate passes. On the other

hand, documents in an open access library are meant for shared use by many. Library staff is not meant to keep custody of library documents alone. This comparison of the circumstances in which loss of library documents occur with that of stores items clearly shows that loss in libraries are inevitable. For argument sake, an anti-service attitude can be taken by a library and advocate for having security guarded closed access library with gate pass system. But it takes away the essence of library services. Results of stock verification should not be used to impose restrictions. In any organisation, if librarian and his colleagues have to take the full responsibility for the loss of documents and make good the loss from their salary, it is obvious that s/he and her/his colleagues who share the responsibility be given a 'risk allowance' on line with allowances given for jobs like that of cashier in offices in addition to providing freedom in amending the policies and procedures of library to minimise loss.

However, the more reasonable way of clearing the deadlock of responsibility is to treat the loss of library documents like any other loss in the organisation and the competent authority write-off the same unless the situation warrants an enquiry about negligence and dereliction of duty on the part of librarian and library staff. The rules governed by the institution would indicate the financial powers and limits for write-off and the extent of loss allowed. In case of Government of India institutions, librarian in the rank not below that of a Deputy Secretary to the Govt. of India or Head of the Department who has financial powers can write-off loss of library documents to the extent of financial powers and monetary limits. Further rare books and books of special nature may be kept under closed access. There is also a provision in the above rules that there should not be any objection to the disposing of mutilated/damaged/obsolete volumes to the best interest of the library as long as it is based on recommendations of a three member committee appointed by the Department.

8.7 WEEDING

The fifth law of library science (Library is a growing organism) is more visible in the area of library collection. Few libraries are in a position to keep on adding additional storage area to accommodate ever increasing collection. At the same time a good number of books become out dated in terms of subject matter and become a liability as well as drain on the resources of the library. Many books become worn out and unfit for use. Books printed on poor quality paper under unfavorable environmental condition become easy prey to all sorts of bacteria. Research in science and technology make most of the science and engineering books irrelevant in a short period. The same is true in case of most of ready reference books such as yearbooks directories, etc. Holding in the racks such books become a source of obstruction for books which have relevance for the present needs of users.

Definition

Removing books not needed for one reason or other, from collection of a library, is called weeding of books. Another term used for weeding is deselection. Weeding is also called relegation in some countries although in this case books are not discarded but transferred to a secondary storage area. Weeding has been defined as "the practice of discarding or transferring to storage, excess copies, rarely used books, and material no longer in use". It has also been defined as "removing

non collection from the primary collection area”. Libraries have some policy of removing unwanted books from their collection. As for disposal of such books is concerned, Libraries have two alternatives before them: either transfer them to some secondary storage, if they have one, or discard them from the library.

8.7.1 Aims of Weeding

Weeding has been justified as it helps library in:

- Saving space for adding new resources to the collection,
- Improves access to resources and thus improves efficiency in service,
- Saving money being spent in maintaining additional copies and unused/ rarely used materials specially in open access system which is more expensive for maintenance,
- Keeping the collection to library’s optimum size.

However some of these criteria have been criticised by scholars. It is contended that some older and seldom used materials housed in a remote storage facility, it may take some time to determine whether the library owns the item, in addition to the time needed to retrieve it. Here the argument of improving accesses does not hold true. Similarly the argument of cost saving is questioned on the ground that there are hidden cost in relegating the materials at alternative place. These include cost of modifying records, cost of transporting to alternative shelves and cost of retrieving on demand.

Weeding of books is tricky and difficult function. It requires in persons engaged in the work quality of assessing the value of a book vis-a-vis space it is occupying. It has been suggested that the issue record in the book may be taken as sign of its value for retention or for discarding. Persons involved in the work must consider all library purposes and activities while identifying title for weeding.

Self Check Exercise

Note: i) Write your answers in the space given below.

ii) Check your answers with the answers given at the end of this Unit.

17) Explain what you understand by weeding.

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18) Describe the aims of weeding.

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8.7.2 Criteria for Weeding

Although criteria for weeding are highly subjective, never the less however, some guidelines that have been developed are as follows:

- Information is outdated (old books in science and technology)
- Volume physically damaged beyond repair
- Old edition superseded by new available edition
- Additional copy of title not much in demand
- Material not needed due to change in user needs
- Institutional objectives have changed
- Material was wrongly purchased.

There are certain materials which though fall under one or other of the above category but are not weeded. These include classic in literature, works of seminal nature in social science and pure sciences, volumes valuable otherwise such as autographed copy, material known for calligraphy, binding and illustration by eminent artist.

8.7.3 Barriers in Weeding

Despite obvious justification for weeding materials which have out lived their relevance, the word weeding have few takers, both among librarians as well as among the authorities or the academics. Eugene Garfield is reported to have said that weeding in library is like examining an investment portfolio..... Like frustrated tycoons many librarian cannot face the fact that some of their guesses (in selection of title) have gone wrong. However one cannot deny the fact there are many a hurdles in discarding books which deserve weeding.

- Psychological – No matter how useless an item may seem at least one person in the world will find it valuable,
- Lack of time – Weeding is time consuming work and hence decision gets postponing,
- Fear of making mistake – Possibility of withdrawing wrong title,
- Anti library culture – Library culture is identified with collection building not collection breaking,
- Lack of user support – Users cooperation is rarely very positive,
- Prestige of size of collection – Till the recent librarians and authorities both valued library by the size of collection,
- Fear of faculty opposition – Lack of user support and faculty opposition is the main hurdles in the way of weeding. This factor is not peculiar to India but is a world over phenomenon.

Apart from the above barriers there are certain practical barriers to the weeding process. Beginning with preparation of proposal to selling the proposal drawing up a schedule, training staff in the mechanism of applying identified criteria, withdrawing records for each item from various places, calls for great patience. The application of certain criterion also poses problem. Identifying change in the user needs requires great expertise. The mere fact that some books have not

been borrowed for certain period is not enough evidence of change in reader's preference. Similarly decision has to be taken whether the title is to be relegated to a secondary storage or is to be discarded.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with the answers given at the end of this Unit.

19) Explain the barriers to weeding.

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8.7.4 Weeding Process

The following steps are required to carry out weeding:

- Constitution of a team of senior staff
- Identification of titles for Weeding out
- Examination of the title by faculty members/ selection committee, in case of public library
- Final approval of the library authorities
- Separation of materials fit for relegation and those fit for discarding
- Preparation of list books for discarding
- Preparation of list for secondary storage
- Modification of various library records (catalogue, shelf list, accession register) for weeded materials
- Decision on ways of discarding (shredding, sale to second hand booksellers, free distribution as gift to other libraries).

The experience of librarians the world over is that however desirable the weeding may be the actual success in accomplishing weeding is very difficult to come by. Many a times materials considered to be suitable for weeding have been collected by librarians, but due to lack of interest in the faculty and authorities, decision on weeding could not be finalised. Ultimately it comes to only those books which are mutilated damaged or have become brittle that are approved for weeding.

8.8 SUMMARY

For long time preservation remained a marginal topic in librarianship. As a topic for study it was considered to belong to archive. The discovery by major libraries in the Western countries in the post second world war years, especially in the Library of Congress, of the imminent danger of losing a substantial number of their early Nineteenth century books sounded an alarm bell. The library launched a major project of mass de acidification. In the late fifties William j. Barrow

published his study on the chemistry of paper which disclosed that papers had inherent deficiency for survival due to presence of acid in wood-based raw material used in the manufacture of paper. Preservation now became a subject of worldwide interest. The British and American Governments and The European Community established bodies to study the problem. IFLA launched its preservation and Conservation programme. There has been much confusion about the exact connotation of the word preservation. It is safer to follow the definition given by IFLA.

The causes of deterioration of library material are both internal as well as external. The internal causes include residual acidity in paper. In case of films, it is the emission of nitrous gases and acetic acid vapor from films that results in their deterioration. Among the external causes, ultra violet and infrared rays emitted by sunlight, fluctuation in temperature and relative humidity, careless handling by staff and users, biological agents like fungus, etc. are important. In case of electronic sources/ digital data, it is magnetic stray fields, mishandling of replay instruments, virus and worms and sudden interruption in power supply. Disasters, both man-made and natural, have also inflicted irreparable loss to libraries throughout the history. Earthquake, tornado, rainstorm, wars and vandalism have destroyed many valuable collections.

Various preventive measures have been suggested to check the deterioration and damage to library resources. Use of acid free paper, protection from direct sun light on library materials, controlled environment in the library, provision of fresh air, installation of equipment such as water gaseous fire extinguishers, water sprinklers, and above all training staff and users in proper handling of library materials will go a long way in checking the malice.

Preservation of digital information can be done either by preserving the software or through re-encoding in new format. Library documents are valuable either for the content or for the style of the material. If text is important and needs preservation it can be reformatted. However if it is important for style of binding, calligraphy, painting etc., it should be given a quality binding. In all such cases while carrying out repair only such material and methods should be used which can be removed easily whenever it is required.

Maintenance of library material is an important activity of library. Without maintenance of materials in an orderly manner, identification of required book by users shall become a daunting job. Maintenance involves action at two levels. In the first place the collection is divided into certain broad groups called sequences.

These sequences are based on internal and external characteristics of the documents.

The commonly followed methods are called classified method, alphabetical by authors name or title method and serial number method. Classified methods are by far the most popular and helpful method. The other two methods are followed by libraries having small collection.

8.9 ANSWERS TO SELF CHECK EXERCISES

- 1) The following are some of the examples:
 - i) Publication of *Deterioration of Book Stock: Causes and Remedies* by W.J.Barrow.
 - ii) U. S. Library of Congress discovery that it was losing 77000 books a year due to deterioration.
 - iii) Dr. F. Ratcliffe's report *Conservation: Need,Resources, Policies and Programme in British Libraries(1982-1983)*.
 - iv) Flood in River Arno in 1966 submerging collection of Bibliotheca Nazonale in Florence.
 - v) IFLA Programme Preservation and Conservation launched in 1984.
- 2) Libraries are called as social memories because they:
 - helped transmission of knowledge to later generations,
 - helped cummulation and further building up of knowledge,
 - helped development of knowledge without any purpose less repetition of efforts.
- 3) The main causes are:
 - Prior to 19th century the quality of paper used was strong and had no inherent cause of deterioration.
 - Preservation was considered to be the job of archivists.
 - Librarians were more concerned with providing access than preservation.
 - Library Science courses laid more emphasis on the method and materials of binding.
 - Preservation meant protection of rare books and manuscripts.
- 4) Books published from early 19th century to the recent periods deteriorated due to internal as well as external causes.

Internal causes include wood pulp used as raw material and process of paper making.

Wooden pulp retains lignin which contains acid. In the process of paper making alum is used as sizing agent which is aluminum sulphate. The presence of acid leads to chemical reactions. The reactions are of two types: bond breaking because of hydrolysis, and because of oxidation. Oxidation results from presence of small quantities of metals from paper making equipments.

External causes include light and relative humidity in the atmosphere. Which accelerate the process of deterioration through their impact on the acidity present in the paper?

- 5) Library materials being organic in nature are affected by changes in temperature and relative humidity. Excessive humidity leads to growth of fungus and other insects. Low humidity leads to dehydration making materials brittle and breakable. High temperature speeds up chemical reaction in all

library materials. It also leads dimensional change in magnetic carriers and eats up pigment layers of magnetic tapes and floppy discs.

6) Staff negligence mean:

- negligence at the planning of building when no provision is made against effects of ultra violet and infrared radiations.
- negligence in maintenance of building and equipments.
- negligence in making provision for environmental control in which more care is given to comforts for human beings than for library materials.
- negligence in awarding binding work to substandard firms.

7) The preventive preservation is related with:

- Light: Protect library material from infrared radiation.
- Temperature and Relative humidity: Temperature 18 °C. Relative humidity 50%.
- Atmospheric pollutants: Ongoing arrangement for effective cleaning and dusting of the whole library.
- Biological Agents: Adapt integrated pest management system.
- Human Factor: Ongoing training both for staff and user group.
- Security: Building design must incorporate various provision required for security, enough lighting system, regular monitoring of sensitive areas.
- Disasters: A written disaster management plan with regular revision for changing situations.

8) The preventive preservation for special category materials is:

- Photograph: Keep in acid free envelop or box, Divide into active and passive collection only active collection should be accessible.
- Mechanical Carriers: Shellac discs and replay equipment should be handled only by specialists.
- Magnetic Tapes: Protect from dust, replaying instruments to be handled only by specialists.
- Optical Carriers: Protect from dust, CDs should be kept in special storage cartridges.

9) The considerations that determine need for binding a book are:

- Kind of books i.e. rare, manuscript, fiction, nonfiction, etc.
- The present value of the books.
- The future value of the books.
- Whether a new edition would replace the existing edition.
- The exiting physical condition of the book.

10) Some people are not in favour of binding of periodicals because:

- Delay affects research work.
- Bound volume can be used by only one person at a time while issues might contain articles for other too.

- Create problems in getting photo copy of articles.
- 11) The various style of binding are:
- Case binding
 - Library style
 - Flexible style
 - Sunk cord style
 - Limp binding
- 12) **External characteristics:** Size, Infrastructure needs and Security needs.
Internal characteristics: Nature of content and level of content.
- 13) Temporary sequences are formed on the occasion of some thematic conference, celebration of centenary of some event of certain personalities by putting materials from the various subjects into one sequence.
- 14) Shelving staff is required to shelve books, rectify collection and refurbish collection.
- 15) Stock verification has its origin in early days of libraries when collection consisted of manuscript. Librarian was considered to be custodian of books and not a facilitator in the promotion use of the collection. The system has persisted despite opinion of various library committees against it.
- 16) The following are the disadvantages of stock verification:
- Library remains closed.
 - Users are required to return books.
 - Work load accumulates in other sections of the library.
 - Books are lost despite security.
 - Staff time wasted in futile activities.
- 17) Weeding is process of identifying material in the collection which has lost its utility for users. It is also defined as the practice of discarding or transferring to storage, excess copies, rarely used books, and materials no longer in use.
- 18) The aims of weeding are:
- i) saving space for new addition,
 - ii) improving access to resources,
 - iii) saving money on maintenance of books,
 - iv) keeping collection at optimum size.
- 19) The main barriers of weeding are:
- Psychological- No matter how useless an item may seem at least one person in the world will find it valuable.
 - Lack of time- Weeding is time consuming work and hence decision gets postponing.
 - Fear of making mistake- Possibility of withdrawing wrong title.

- Anti library culture- Library culture is identified with collection building not collection breaking.
- Lack of user support- Users cooperation is rarely very positive.
- Prestige of size of collection- Till the recent librarians and authorities both valued library by the size of collection.
- Fear of faculty opposition- Lack of user support and faculty opposition is the main hurdles in the way of weeding. This factor is not peculiar to India but is a world over phenomenon.

8.10 KEYWORDS

Cellulose Acetate	: An organic compound of acetic acid.
Cellulose Nitrate	: An organic compound of nitric acid.
Collation	: Thorough checking of bound book for correct pagination, sewing quality and other details.
End Paper	: Blank paper of mild colour placed at the two ends of the book before the cardboard covers.
Forwarding	: operation required to complete the binding.
Fungi	: Plural of fungus organism feeding on organic matter. It includes mould that grows in moist warm condition.
Hydrolysis	: Chemical reaction in a substance that leads to its decomposition.
Infrared Waves	: Part of the light spectrum having a wave length just greater than the red end of the spectrum.
Iron Gall	: Iron rust.
Lignin	: Chemical found in wood that binds together plant cells.
Lux	: Unit of measurement for light intensity.
Open Access	: Free entry to book storage area.
Oxidation	: Organic matter getting covered with oxide.
Relative Humidity	: Water vapor in the air as % of maximum amount that the air could hold at the same temperature.
Sheet on Sewing	: Sewing style in reinforced binding. Reinforced because sewing in final Section gets double stitch.
Split Board	: Board made up of a laminated mill board and straw board with a slit to contain the flange of tapes.

- Square** : The projected end of the board beyond the text of the book.
- Sizing** : Reducing paper's ability to absorb liquid by using gelatin or animal glue.
- Social Memory** : Library as store house of accumulated human knowledge is called social memory.
- Tanning** : Converting raw hide into leather through dipping it into chemical liquid.
- Telephone Tree** : List of phone numbers to be used in emergencies.

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UNIT 9 DISASTER MANAGEMENT

Structure

- 9.0 Objectives
- 9.1 Introduction
- 9.2 Historical Background
- 9.3 Causes of Disasters
 - 9.3.1 Natural Disasters
 - 9.3.2 Man-made Disasters
- 9.4 Disaster Management Planning
 - 9.4.1 Aims and Objectives
 - 9.4.2 Disaster Prevention Measure in Building Design
 - 9.4.3 Disaster Management Plan
- 9.5 Security System
 - 9.5.1 Insurance
- 9.6 Summary
- 9.7 Answers to Self Check Exercises
- 9.8 Keywords
- 9.9 References and Further Reading

9.0 OBJECTIVES

Protection of library resources from damages caused by various kinds of disasters has now become an integral part of preservation. Natural disasters such as flood or earthquake or manmade disasters such as negligence of maintenance of library building and the various equipments have often led to the total destruction of a library.

After reading this Unit, you will be able to:

- describe the nature of disaster and know about some disasters that have affected libraries;
- explain national and international measures to safeguard libraries against disasters;
- describe disaster management planning including provision for disaster management in library buildings;
- identify the stages of disasters and prepare suitable plan for each stage; and
- highlight the security measures against manmade disasters.

9.1 INTRODUCTION

Disaster is an event that inflicts sudden disruption to the functioning of a system under its impact. It causes such a wide spread, material and environmental losses which exceeds the ability of the body affected to cope with, using only its own resources. In the context of library it has been described as “an unexpected event with destructive consequences to their holdings. It may be a small scale incident

or a full blown emergency, but in either case it requires prompt action to limit damage”. Disaster causes harm not only to holdings, it might cause harm even to buildings, staff, and users and disrupt normal services for considerable period.

9.2 HISTORICAL BACKGROUND

Libraries have suffered damages due to disaster of one kind or other throughout the history. The famous Alexandria Library, established around 300 B.C. is said to have contained between 400,000 and 700,000 documents in its peak period with literature from Assyria, Greece, Persia, and India. The Library was completely gutted in wars during the reign of Caesar (100 BC-44 BC) The libraries of Nalanda and Texila which had attracted scholars from China, Mongolia and Sri Lanka are now found in the pages of books only. Lightning in 188 AD in Rome, in 1300 AD in France and in 1674 in Spain were responsible for the destruction of several libraries in the respective countries. The libraries that flourished during the medieval period in India and were established by Kings of Vijyanagar, by the Great Mughals, Tippu Sultan and by Nawabs of Awadh, were vandalised by the British who later transferred the entire booty to England. To this day scholars working on Indian history have to travel to England to look at the basic sources on Indian history now available in the British Library.

The story of disasters did not end with the medieval period. The modern period has also witnessed destruction of libraries world over through wars, lightning, floods, tsunamis, theft and vandalism. The two World Wars are responsible for the destruction of many famous libraries in Europe. One example is of the library of the University of Louvain, Belgium which was destroyed in German invasion in the First World War resulting into loss of about 300,000 books. The Serbian attack on Bosnia-Herzegovina in 1992 is reported to have destroyed the National Library of Sarajevo resulting into loss of almost its entire collection of 1.5 million volumes including some 70000 rare manuscripts. Large scale destruction was caused to archives, libraries, and other cultural institutions during American invasion on Iraq in 2003. It included Iraq’s National Library, National Museum the National Archives. *Bait-al-Hikma* in Iraq lost, according to IFLA, 500,000 books and serials including 5000 extremely rare books.

The flood in River Arno, in 1966, damaged one million volumes of Florence Biblioteca Nazionale Centrale of Italy. Floods in Europe in 2002 damaged libraries in Austria, Germany, Hungary, Slovakia and Czech Republic. In 1985 a fire caused by lightning at the library of The Dalhousie Law School, Nova Scotia destroyed 60000 volumes, much of the library’s furnishing and fittings, including its card catalogue. The library of the USSR Academy of Sciences lost about 400,000 volumes in fire in 1988. Flood in Hyderabad in 2005 submerged in flood water Sunderayya Vignana Kendra library’s more than 1.25 lakh books, periodicals, manuscripts and other rare materials.

The library of the Sanskrit University, Dang, Nepal lost its valuable collection of manuscripts in an attack by mob in 2003. The library of the Bhandarkar Institute of Oriental Research was ransacked by an ill-informed mob over publication of a book on Shivaji which contained some reference to a manuscript available in the Institute’s library. A fire started by arsonists in 1986 destroyed about 400,000 books of the Central Library of the Los Angeles Public Library system.

The terrible tsunami that hit coastal areas of the Indian Ocean in December 2004 caused damage to 177 school libraries, 53 public libraries and 68 religious libraries in Sri Lanka alone. Libraries in Maldives also were reported to have suffered damage. Water damage was also reported by the Madras University Library. A devastating Hurricane, Katrina in the Gulf of Mexico, caused considerable damage to libraries in the area.

National and International level awareness

Though the occurrences of disasters have long history, the planning for preventive measures to meet the situation, both at national and international level are not very old. According to Ross Harvey “it was not however until the late 1970s that it could be said that disaster planning was widely recognised as an essential part of good library management.” The planning at the national level began in Canada, US, and UK towards the end of the last century. At the international level organisations like the International Council on Monuments and Sites, International Council of Museums, IFLA, International Council on Archives joined hands to form an International Committee of Blue Shield in 1996. The Committee is to collect and disseminate information on disaster management policies and, coordinate action plan in emergency situations. The main objectives of the Committee are:

- To facilitate international responses to emergencies threatening cultural properties.
- To encourage safeguarding and respect for cultural property especially by promoting risk preparedness.
- To train experts at regional and national levels to prevent, control and recover from disasters.
- To act in an advisory capacity for protection of endangered heritage items.
- To consult and cooperate with other bodies including Unesco, International Committee of Red Cross, etc.

The activities and functions undertaken by the Committee to fulfil its objectives are:

- Collecting and sharing information on threats to cultural property worldwide;
- Raising public awareness about damage to cultural heritage;
- Promoting good standard for risk management among those responsible for cultural heritage at all levels, from institution to government;
- Working to make decision makers and professional staff aware of the need to develop preventive preparedness, response and recovery measures;
- Providing professional expertise to help meet emergencies;
- Identifying resources for disaster prevention and for rapid intervention in emergencies;
- Encouraging the establishment of National Blue Shield Committees’.

The Unesco launched its Memory of the World Programme in 1992, with the objective that “world’s documentary heritage belonging to all should be fully preserved and protected for all and with due recognition of cultural mores and practicalities should be permanently accessible to all without hindrance.” It has also published a book with the title, *Lost Memory: Libraries and Archives Destroyed in the Twentieth Century* written by J. Van Albada and H. Van Ha.

Self Check Exercise

Note: i) Write your answers in the space given below.

ii) Check your answers with the answers given at the end of this Unit.

1) Give a brief summary of disasters in Europe in modern period.

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2) List objectives of Blue Shield Committee.

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9.3 CAUSES OF DISASTERS

Libraries like any other institution are exposed to various kinds of disasters which destroy building, burn or submerge books and other valuable records in water. Many a times these damages are irreparable. Fire and or water as source of disaster may be the primary factor or they may follow a disaster like earthquake, flood, lightening, etc. The causes of disasters have been categorised by nature of their origin. Those that occur in the form of natures' fury, such as earthquake, tsunami or flood in rivers are called natural disasters. Natural disasters are so unpredictable that they often take the organisation by surprise. These include flood, earthquake, volcanic eruption, wind or rain storm, lightning and tsunami. Disasters that are caused due to negligence or deliberate criminal acts of human beings are called manmade disasters. These include arson, vandalism, war, theft, building deficiencies, and/or negligence of staff of their assigned duties.

9.3.1 Natural Disasters

Some examples of natural disasters are:

Floods: As mentioned earlier, flood in River Arno, in 1966, resulted into flooding of the Florence's Biblioteca Nazionale Central of Italy. During August 2000 flood in Hyderabad priceless collection of Sunderayya Vignana Kendra Library was submerged in water. Flood waters destroyed basic source materials on famous Urdu poet Iqbal's original letters preserved by the Jammu University.

Earthquake: An earthquake in Muzaffrabad, Pakistan-held Kashmir, in 2005, made people who were rendered homeless, burn 1000 books to keep themselves warm in the biting cold of the winter months.

Tsunami: Tsunami in 2004 destroyed school, and public libraries in Sri Lanka and Maldives.

Lightning: Lightning in 1985 destroyed 60000 books of the Dalhousie Law School US, library.

9.3.2 Man-made Disasters

Under this category we may put such emergency situations that occur due to an unintentional or deliberate action of people (staff and users). It includes act of war and terrorism, fire following short circuit, flooding of library due to pipe burst or leakage. Building design deficiency and poor maintenance of the building also may lead to an emergency situation. Sometimes power failure also leads to emergency situation. Flooding, once the water subsides, leaves dampness in its aftermath which becomes cause of biological agents that inflict damage to the books.

War and Arson: The earliest example of destruction and damage to library due to war, as mentioned earlier, is that of Alexandria Library which was burnt in war during the reign of Caesar in the second century BC. In the first half of the last century the two World Wars inflicted irreparable damages to libraries in most of the European countries. The recent examples are those of the Serbian attack on Bosnia-Herzegovina in 1992, US attack on Iraq in 2003 and USSR attack on Afghanistan in 1979. In the US in 1980-81, there were 23 reported cases of library fires and of which 17 or 85% were listed as arson fires.

Theft: Thefts have caused damage not in terms of scale as in terms of value to libraries. Most of the books pilfered from libraries are scarce and very rare books with painting or some other artifacts. "Within a few days of forces entering Baghdad, the looters ransacked the National Museum and stole about 15000 priceless artifacts" (The Hindu 18. 9. 2010).

Building Deficiency and Negligence: The US National Fire Protection Association while investigating causes of fire at the Los Angeles Central Library of 1986 observed that the disaster could surely have been avoided by the utilisation of an automatic water sprinkler system. The cause of the 1988 fire in the Library of the USSR Academy of Sciences was traced to defective electric wiring. In the Patent Registration Office library, Government of India, Kolkata, 1.56 lacs Indian and 8 lacs foreign patent literature are facing decay due to lack of adequate preservation measures .

Self Check Exercise

- Note:** i) Write you answer in the space given below.
- ii) Check your answer with answers given at the end of this Unit.
- 3) What are natural disasters? Give examples.

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9.4 DISASTER MANAGEMENT PLANINGG

Disaster planning is a matter of basic security for libraries and archives and has now become an integral part of library preservation planning. It has been called as one aspect of good library administration practice. Though called by names such as disaster control planning, disaster containment, contingency planning and risk management, in essence it is a set of rehearsed actions to minimise the effect of a disaster. It requires the library to always remain in a situation of emergency preparedness. Emergency preparedness is a continuous and integrated process and aims at:

- 1) Increasing the efficiency, effectiveness and impact of disaster emergency response mechanism;
- 2) Strengthening staff and user based preparedness through dissemination of guidelines for warning system, evacuation and exit routes, salvaging activities;
- 3) Developing activities that are useful for day to day preservation problems and also for responding to disaster situation.

The preparedness calls for taking certain basic steps which include:

- Study of the library for potential problem in consultation with local fire and safety services agency.
- Preparing a disaster planning manual and keeping it up-to-date.
- Develop list of items in the collection for storage with safety priority. (It is normal to put the materials into three levels, irreplaceable and costly materials, materials that are difficult to replace, rest of the materials).
- Preparing and keeping up-to date toll-free telephone phone numbers for use in emergency.
- Preparing and keeping up-to-date a complete inventory of library assets (excluding reading materials) to be used for insurance claim. The claim for collection can be based on accession record.
- Preparing a list of external resources experts, and organisations to be used in emergency and constituting a planning team for handling emergency situations.

9.4.1 Aims and Objectives

The aim of disaster management is the creation of a scheme to handle an emergency situation that may affect a library and its holdings. The objectives of such a scheme are: 1) to prevent a disaster whatever its magnitude, 2) to protect library materials in the event of a disaster and 3) In its aftermath to restore and stabilise library materials prior to restoration and conservation.

The disaster relief plan helps the situation in several ways:

- 1) By increasing the efficiency effectiveness and impact of disaster emergency response through:
 - Development and regular testing of warning system,
 - Plan for needed evacuation and other measures during emergency alert period,

- Education and training of staff and users and of first aid and emergency response team,
 - Formulating emergency response policies, standard, organisational arrangements and post disaster operations.
- 2) Developing activities useful for addressing both every day risks and for responding to disaster situation e.g. first aid and social welfare programme for affected people.
 - 3) Strengthening library based disaster preparedness education in and restoration work.
 - 4) Making staff confident that orientation and training given is sufficient to meet an emergency situation.
 - 5) Making staff confident that public and private agencies on the list for contact in emergency situation are aware of the special needs of library.
 - 6) Succeeds in restoring normalcy promptly and efficiently in post disaster situation.
 - 7) Makes staff able to reduce recurrence of disasters in the light of experience gained during a disaster.

9.4.2 Disaster Prevention Measure in Building Design

You have already noted in brief the disaster prevention as part of planning the building in Unit 6. In fact, planning for disaster management is done at two stages: 1) While planning the building by incorporating features necessary for retarding the possibility occurrence of disaster. 2) In post-construction stage planning with all other measures and activities to face the disaster and also post-disaster situation. In designing the building, the first and the foremost is to select site outside the seismic zone. Site should also be slightly elevated and easily accessible for fire engines and other emergency vehicles. Other points for consideration include:

- Building structure based on the principle of compartmentalisation,
- Separate room for storage of inflammable liquids,
- Use of fire retardant materials in construction,
- No storage provision for rare materials in basement and at the top floor,
- Pitched roof with no water or drainage pipes over book storage areas,
- Provision of fire suppression system,
- Openings in building for air and light to be vandal and thief resistant,
- Provision of fresh air flow around HVAC areas.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with answers given at the end of this Unit.

- 4) Explain how disaster relief plan helps libraries in the event of disaster.

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9.4.3 Disaster Management Plan

A disaster plan involves activities under four phases, namely prevention, preparedness response and recovery.

Phase 1: Prevention

Prevention phase is primarily concerned with such measures as are expected to be taken at the stage of planning the building. These are to Identify and minimise the risks posed by the building, its equipments and fitting and the natural hazards of the area and include activities as below:

- Carry out a building inspection and alter factors which pose a potential hazard.
- Establish routine housekeeping and maintenance measures to withstand disaster in buildings and surrounding areas.
- Install automatic fire detection and fire extinguishing systems and water sensing alarms.
- Take special precaution during unusual periods of increased risks such as building renovation.
- Make special arrangements to ensure the safety of rare and archival material when exhibited.
- Provide security copies of vital records such as collection inventories and store these off site.
- Protect computers and data through provision of uninterrupted power supply.
- Have comprehensive insurance for library or archives, its contents the cost of salvage operations and potential replacement, re-building and restoration of damaged materials.

Phase 2: Preparedness

Preparedness is concerned with making preparations for facing an actual occurrence of a disaster. The activities to face the situation include:

- Develop a written preparedness response and recovery plan.
- Keep the plan up-to-date with regular test.
- Keep together supplies and equipment required in a disaster and maintains them.
- Establish and train an in-house disaster response team. Training should be in disaster response techniques, identifying on floor plan enclosures of irreplaceable and important materials for priority salvage.
- Prepare and keep a set of documentation including:
 - Building floor plans with locations of cut-off switches and valves.
 - Inventory of holdings, with priorities for salvage marked on floor plans.
 - Telephone tree i.e. List of names, addresses and home telephone numbers of 1) personnel with emergency responsibilities 2) In-house disaster response team 3) of trained conservators who could offer various technical supports.
 - List of disaster control services, in-house supplies and equipments, of suppliers of services and additional equipments/supplies.

- Arrangements for funding emergency needs.
- Copies of insurance policies.

- Keep the plan and documentation at appropriate places on and off-site.
- Institute procedures for notification to appropriate people of the disaster.

Phase 3: Response

The steps that should be taken when disaster strikes are termed as response and include:

- Following established emergency procedures for raising the alarms, evacuating personnel and making the disaster site safe.
- Contacting the leader of the damage response team to direct and brief the trained salvage personnel.
- When permission is given to enter the site, make preliminary assessment of the extent of the damage, and the equipment, supplies and services required.
- Stabilize the environment to prevent the growth of mould.
- Photograph damaged material for insurance claim purposes.
- Setup an area for recording and packing material which requires freezing, and an area for air drying slightly wet materials and for other minor treatment.
- Transport water -damaged items to the available facility centre.

Phase 4: Recovery

Recovery phase involves activities carried out to bring back normal situation in the library by taking the following steps:

- Draw a programme to restore both the disaster site and the damaged materials to a stable and useable condition.
- Decide priorities for restoration ,consult conservators about the best methods for restoration and options along with cost under each method.
- Determine item by item needs for retaining, discarding, and rebinding or needing special treatment.
- Clean and rehabilitate the disaster site.
- Replace treated materials in the refurbished site.
- Analyse the disaster and the steps taken in its wake for needed revision and modification of the steps for the future.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with the answers given at the end of this Unit.

5) List measures to be taken in prevention phase of disaster plan.

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9.5 SECURITY SYSTEM

The security of the library is concerned with the safety of the staff and the users. It is also provision against theft of library resources and assets and general protection of the library building. Studies in US revealed that loss to libraries through theft has been as serious as loss through fire and is estimated to be around 50 million per annum.

Safety and security provisions should be incorporated both at the time of design of building and on a regular basis.

At the stage of designing building:

- Avoiding unnecessary rear doors and strengthening essential access point.
- Interior layout design should allow for maximum visibility of public areas.
- Providing burglar resistant bar/grills on rear windows.
- Installing an alarm system and necessary emergency exits.
- Provision for installation of CCTV and RFID.
- Adequate provision for lighting both in the interior and exterior of the building.
- Fitting of turnstile door at the exit point.
- Intrusion alarm system in special collection areas.

On a regular basis:

- Adoption of closed access system for special/ rare collection.
- Main door and rare material room door keys should have authorisation and recorded transaction system.
- Use of standard quality locks.

9.5.1 Insurance

The financial loss suffered by a library under disasters are often huge and it includes loss of content, cost of salvage operations and potential replacement, re-binding and restoration of damaged materials and re-building of damaged portions of the building.

There is, therefore, enough justification for taking a insurance policy against disaster. The policy should be comprehensive enough to cover all likely losses. However, since the insurance cover negotiation involves use of many technical terms it must be negotiated by a person conversant with the insurance terminologies. In case of occurrence of a disaster the losses must be reported to the company promptly once the situation stabilises. The library therefore must preserve the records of all its valuable materials to be covered in the policy and it must be preserved at a safe place away from the site. The insurance schedule must be reviewed periodically for enhancement of the value of the items covered as they keep changing. In this regard a written disaster management plan is helpful in making claim with the insurance company.

9.6 SUMMARY

Disasters are disruption or damage to the library by natural factors such as flood or earthquake or due to negligence or deliberate action of human beings such as war, arson and theft. There is a long history of disasters which destroyed many libraries. There is now national and international level awareness and preventive measures to safeguard libraries from disasters. Disaster management has now become an integral part of library management.

9.7 ANSWERS TO SELF CHECK EXERCISES

- 1) Major disasters in Europe in modern period are:
First World War, Library of University of Louvain, Belgium.
Herzegovina, National Library of Sarajevo.
Flood in River Arno, Italy.
Second World War, Libraries in Austria, Germany, Hungary, Slovakia, Czechoslovakia.
Russia: Academy of Sciences Library.
- 2) The objectives of Blue Shield Committee are:
 - 1) To facilitate international responses to emergencies threatening cultural properties,
 - 2) To encourage safeguarding and respect of cultural property especially by promoting risk preparedness,
 - 3) To train experts at regional and national levels to prevent, control and recover from disaster,
 - 4) To act in advisory capacity for protection of endangered heritage items,
 - 5) To consult and cooperate with other bodies including Unesco, International Committee of Red cross, etc.
- 3) The examples of natural disasters are:
 - Flood: River ARNO, Italy 1966
 - Earthquake: San Francisco 1989 Los Angeles Library
 - Tsunami: 2004, Sri Lanka, Maldives
 - Lightning: US 1985, Dalhousie Law Library.
- 4) The disaster relief plan helps libraries during disasters in the following ways:
 - 1) By increasing the efficiency, effectiveness and impact of disaster emergency response.
 - 2) Developing activities use full for addressing both everyday risks and for responding to disaster situation.
 - 3) Strengthening library based disaster preparedness education and restoration.
 - 4) Making staff confident that orientation and training given is sufficient to meet an emergency situation.
 - 5) Making staff confident that public and private agencies on the list for contact in emergency situation are aware of the special needs of library.

- 6) Succeed in establishing normalcy promptly and efficiently in post disaster situation.
 - 7) Makes staff able to reduce recurrence of disasters in the light of experience gained during a disaster.
- 5) The measures to be taken in prevention phase of disaster plan are:
- Carry out building inspection to remove any potential hazard,
 - Establish routine housekeeping and maintenance measures to withstand disaster,
 - Install automatic fire extinguisher and detection system and water sensing alarm,
 - Take special precaution during unusual periods of increased risks,
 - Make special arrangements to ensure the safety of rare and archival materials during exhibits,
 - Provide security copies of vital records such as collection inventories, to be stored off site,
 - Protect computers and data by providing uninterrupted power supply, and
 - Take out a comprehensive insurance policy for total estimated loss.

9.7 KEYWORDS

- Compartmentalisation** : Construction of library building so that compartment/ unit can be sealed in case of emergencies like fire.
- Cultural Properties** : Items which display the life and culture of a social group.
- Heritage Items** : Products of craftsmanship and art such as old buildings, sculpture.
- Pitched Roof** : Sloped roof to allow quick water flow.
- Telephone Tree** : List of telephone numbers showing who will call whom in which order.

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BLOCK 3 FINANCIAL MANAGEMENT

Introduction

This Block deals with financial management of libraries in general and budgeting in particular. You have already studied in Unit 1 of this course, that 'budgeting' is one of the managerial functions. Financial management or fiscal management is the study of the principles and practices involved in financial operations of an institution, industry or state. This Unit deals with the problems and procedures of acquiring, distributing and effectively utilising funds, balancing of revenues and expenditure and accounting of the entire transactions for better control and evaluation. This Block consists of three units (10, 11 and 12). The Unit 10 provides background and general picture of financial management as a whole, Units 11 and 12, respectively deal with general budgeting techniques and the process of budget preparation in libraries.

Unit 10 dealing with financial or fiscal management in libraries and information centres explains problems associated with financial management of service and not-for-profit (NFP) organisations and discusses how libraries as service institutions seldom earn revenue, but still required to be regularly funded almost entirely by their respective parent organisations or government. Grants from endowments, fees, subscriptions, sale of service, etc. are meager supplementary sources for libraries. Various heads of library expenditure to be operated within the framework of set rules, procedures and guiding principles are also explained. The Unit points out the need for costing and cost benefit analysis, economic theory of library and other financial management techniques and tools in librarianship.

Unit 11 discusses features and attributes of library budget. Budget is a financial statement which provides details of the proposed revenues and their utilisation for expenditure for a specific period, usually a year. Budget is both a plan document and a control mechanism. As a road map to guide actions, a tracking device to measure progress, budget aids orderly and progressive planning, coordination and implementation. It is also an instrument of financial control and a device for evaluating results. Though budget helps limiting expenditure to income and spend money wisely, it can also cause some problems like over-emphasis on easily observable factors, tempt one to become routine and quantify services that are not quantifiable and hence required to be used intelligently. It is an instrument of control, communication, coordination, evaluation and motivation and helps evaluating performance on the basis of the utilisation of fund.

A library, being a service institution, offering its services without any price, does not support itself financially. Funds have to be provided to a library by its parent organisation or by the government. From the appropriations of funds made, library organises and regulates its expenditures for its functions and services according to certain norms and procedures. The budgeting technique used for the purpose is usually line item budgeting. The other techniques of importance are Programme Budgeting, Performance Budgeting, Planning Programming Budgeting Systems and Zero Based Budgeting.

Budgets are usually prepared in conformity with standard norms, particularly with reference to the distribution of funds towards different competing items of expenditure. Three methods are generally considered for estimation of budget, namely, per capita method, proportional method, and method of details. Per capita method suggests a minimum sum of money per user such as students, faculty

and research scholars in the case of university and college libraries. Proportional method prescribes a percentage on the total budget of the parent organisation whereas method of details takes items of expenditure of library as the working data for allocation of funds.

Unit 12 explains how to prepare budget by presenting typical contents of a budget document, principles of budget making, ways of providing justification for expenditure, need for getting approval for the budget and handling budget excesses and budget formalities. Issues relating to allocation of funds, encumbering of funds and fund accounting to ensure proper use of funds and control of budget are also discussed in this Unit.

It is necessary that the library professionals have clear understanding of budgetary terms. Preparing budget begins with considering what the library hopes to accomplish, particularly keeping long-range plan in mind, new factors like developments in ICT, overall current economic condition of the parent organisation and in the country, service needs of users, etc. Estimates are prepared on the basis of past experience, present demands and future expectations of requirements. In other words, budget has to take into account (i) the actual expenditure of previous financial year, (ii) spillovers, if any, (iii) amount already spent up to the date of preparation of the budget during current financial year, (iv) foreign exchange (FE) requirements (if any), (v) advance commitments to be made for the next financial year, (vi) capital items, (vii) impact of inflation on cost of books, periodicals, binding, and other supplies, (viii) increase in enrolment/members, etc. Budget items have to be shown in four types, viz, actual expenditure for the last year, estimated expenditure for the current year, revised financial estimates for the current year, and estimated expenditure for the next year. Thus, the budget provides a linkage between three successive years. Every item of expenditure with reference to its past allocation and enhanced current requirements has to be noted and justified.

Complexity of budget and budgetary control system may vary depending on the nature of parent organisation. Budgetary control is the process of comparing what was planned with what has been accomplished during the period. Budget and budgetary control system have many merits like use of Rupee as a common denominator, dealing directly with efficiency of the organisation, stimulating good management practices, detecting deviations from planned expenditure, suggesting corrective actions, facilitating centralised control and availing collective wisdom of people involved.

The cardinal principle of fund accounting is that every financial transaction is charged to some account and a record consists of what the transaction involved. Fund accounting system allows for verification of all the transactions and provide accurate report so that there is neither under-spending nor over-spending. Above all keeping accurate records of money spent and knowing the balance remaining as well as carrying out expenditure audit are essential. It is a good practice to periodically reconcile the library accounts with that of finance/accounts department of the parent organisation.

Library is a spending institution and a growing organism. Naturally library expenditure is recurring and permanent in nature. As such seeking maximum aggregate benefit, advance planning, equitable allocation and economy are the principles of library expenditure. Financial audit, particularly post-audit, enables meticulous but sample scrutiny of financial transactions to have proper control over irregular, inappropriate and wasteful expenditures.

UNIT 10 SOURCES OF FINANCE AND RESOURCE MOBILISATION

Structure

- 10.0 Objectives
- 10.1 Introduction
- 10.2 Financial Management
 - 10.2.1 Principles of Financial Management
 - 10.2.2 Financial Management in Service-oriented and Not-for-profit Organisations
- 10.3 Sources of Funding / Finance
 - 10.3.1 Academic Libraries
 - 10.3.2 Public Libraries
 - 10.3.3 Special Libraries
- 10.4 Implications of ICT Developments: E-Procurement and E-Documents
- 10.5 Library Expenditure Planning
 - 10.5.1 Importance of Library Expenditure
 - 10.5.2 Nature of Library Expenditure
 - 10.5.3 Principles of Library Expenditure
 - 10.5.4 Classification of Library Expenditure
- 10.6 Summary
- 10.7 Answers to Self Check Exercises
- 10.8 Keywords
- 10.9 References and Further Reading

10.0 OBJECTIVES

After reading this Unit, you will be able to:

- explain the need and purpose of financial management and its application in libraries and information centres;
- identify the characteristic features of service-oriented and not-for-profit organisations, and the circumstances under which financial management system has to operate in libraries;
- describe the sources of finance for different types of libraries and ways of mobilising finance for libraries; and
- discuss the major categories of expenditure, principles and classification of library expenditure.

10.1 INTRODUCTION

Since money is most important input resource for any enterprise, proper management of funds is necessary to achieve the goals of the organisation. Libraries and information centers are no exceptions. They also need substantial financial resources almost on a continuous basis. No study of an important public activity like library services can be complete and fruitful unless it also covers

financial aspects. A basic knowledge of library finance, library expenditure, budgeting and accounting is, therefore, very important for any librarian or a student of library science. Hence, there is no need to over emphasise the need for financial management skills among library and information professionals. On the other hand, it is considered that the economic management of libraries and information centers is the most neglected area in library management. There is a general lack of 'financial literacy' among librarians. This is despite the fact that in recent years, tremendous economic and financial pressures are mounting on libraries. The way finance is managed in libraries is more akin to that of other not-for-profit service organisations, that too those in welfare economy than profit making enterprises.

Libraries are not revenue earning institutions. Most of them are service components of academic and other institutional bodies. Hence, they have a special obligation to manage their finances with great care and judiciousness. Public library service is generally free because it is supported by public funds, either through special grants from the government and/ or through a library cess. The importance of the provision of a continuous flow of adequate finance to libraries cannot be exaggerated. A few principles are required to be understood, as finance is also an instrument of control and evaluation.

10.2 FINANCIAL MANAGEMENT

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

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

The task of finding money, investing funds, managing property and getting the sanction for the budget and all other related matters of finance are the responsibility of the central executive authority of the public library system or the parent organisation to which a particular type of library belongs. However, the library has a major share of responsibility in estimating its own financial requirements, preparing a budget for its functions, activities and programmes, managing the funds appropriated and spending within the specified period, maintaining accounts, and finally preparing a report.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with the answers given at the end of this Unit.

1) What do you understand by financial management and what are its components?

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10.2.1 Principles of Financial Management

For effective financial management, knowledge/ understanding of some basic guiding principles of financial management is necessary and useful. The principles of financial management are:

i) Effective control

ii) Simplicity

iii) Regularity and farsightedness

iv) Economy

v) Flexibility

i) **Effective Control:** Financial management can work efficiently only when controlled properly. The method of financial control should be simple and easy. Control is also necessary for the economical use and channelisation of resources so that there is little wastage and the limited financial resources could be put to maximum use.

ii) **Simplicity:** Procedures for financial management should be simple and easy to operate. Simplicity results in efficiency and economy.

iii) **Regularity and Farsightedness:** Financial management programmes should have a typical timetable so as to acquaint everybody with what s/he is expected to do at a particular point of time. For example, in the preparation of the budget for a library, inputs should come from the heads of sections who would in turn expect cooperation from their staff. The preparation of budget would be time-bound and submitted to the authorities on time so that the budgetary sanctions could be obtained in time to operate it. Similarly, since payment towards subscriptions to current journals should be sent to the publishers during a particular time of the year, the required fund should be readily available by that time. Sticking to a timetable facilitates advance thinking and preparation. Not only present needs but also future requirements should also be kept in view when making provisions for finance.

iv) **Economy:** Economy should be affected in any activity, more so in financial matters. All precautions should be taken to avoid unnecessary expenditure and wasteful use of scarce finances.

10.2.2 Financial Management in Service-oriented and Not-for-Profit Organisations

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

There are certain difficulties in financial management of service-oriented and NFP organisations. Some important characteristics of such institutions together with difficulties are discussed below. The problem becomes more acute if budgets of such institutions are not planned as part of planning of parent body and if they worry more about accounting than planning.

Among the important characteristics of service-oriented and NFP organisations, the labour intensive as against machine and technology intensive nature of profit-making organisations, lack of inventory (as they will have no inventory of services), dominance of professionals, difficulty in inspecting and measuring the quality of service in advance of delivery (i.e., before rendering the service), etc. are important. Lack of profit measure is quite typical to service-oriented and NFP organisations. Profit-oriented organisations measure their output by amount of revenue earned based on prices charged for goods and services sold. For individual profit centres, revenue is measured by transfer prices. Service-oriented and NFP organisations either should devise similar monetary measures of output wherever possible or rely on non-monetary measures. By and large, the output measurement is a practical problem and also a challenge in service and NFP institutions. There is no single generally accepted criterion for measuring success of such organisations. Multiple objectives, lack of relation between costs and benefits and difficulties in measuring performance and comparing performance of different units of the same organisation are some peculiarities of service-oriented and NFP organisations. Due to dissimilar functions, the organisational units cannot be compared in service-oriented and NFP organisations. In the absence of monetary output measures, certain non-monetary measures could be employed by service and NFP organisations. These non-monetary output measures can be classified as subjective or objective, discrete or scalar, quantitative or qualitative. Some important non-monetary output measures are:

- i) Results measures
- ii) Process measures
- iii) Social indicators
- iv) Inputs as proxy output measures

Libraries and information centres have not given adequate attention in devising output measurements. In addition, there appears to be no direct relation between costs and benefits in service organisations. Market forces play a less significant role in service-oriented and NFP organisations. Due to lack of shareholders, there appears to be differences in ownership and power. Consequently there is a tendency for service-oriented and NFP organisations to be political organisations.

Historically, the cost accounting and other control techniques were developed for manufacturing (i.e., profit-oriented) companies and hence they are less

applicable to service-oriented and NFP organisations. Inadequate management controls have become a tradition in such institutions, which are usually relatively small and operate on a single location.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check you answer with the answers given at the end of this Unit.

3) Enumerate characteristics of service-oriented and not-for-profit organisations.

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10.3 SOURCES OF FUNDING/ FINANCE

The economic and financial pressures are mounting on libraries due to (i) increased cost of information materials; (ii) ever-growing and diverse demands; (iii) adoption of new technology; (iv) need for new space and infrastructure to cope up with new environment; (v) increases in wages and salaries; (vi) interlibrary loan and resources sharing; (vii) new programmes and projects to justify the existence of library.

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

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

Different types of libraries receive funds from different sources, though some sources such as government grants are common. The greatest percentage of operating funds increasingly comes from public fund raised through taxes. A judicious estimation of funds required has to be done well in advance as funds are required on a continuing basis.

Various sources of funds for libraries can be broadly grouped as follows:

- i) The main source of finance for any library is **regular grants from parent body or National/ State Government** (some percentage of budget and/ or public fund raised through taxes)
- ii) Local **library cess** and support from municipal and other provincial authorities.
- iii) **Adhoc grants** from other departments/institutions (public fund), private national agencies, endowments and charitable institutions and certain foreign or international support.
- iv) **Fines and miscellaneous sources**: Some libraries impose fines on late return of books as well as for loss or misuse of library cards and books. Income from this source is very meager. As a matter of fact, it cannot be considered as a source of income, because the aim of fine is not to raise revenue but to compel the user to return the borrowed book in time and not to damage or lose it during her/his possession. Moreover, in some situations libraries may not have authority to re-appropriate amount collected as fine or overdue charges for other purposes. In addition, the effectiveness of imposing fine is questionable as it may create ill feelings among users and discourage use of library. Hence, the policy of levying fine itself is debatable and possible revenue is offset by potential bad effect on public relation. Miscellaneous sources may consist of money received by the sale of old library materials like waste paper, used / withdrawn books, equipment, furniture, etc.
- v) **Self-generated fund (Fee-based services)**: Libraries usually render their services on a nonprofit basis. Charging for library services is fairly a recent phenomenon. Fees, subscriptions, sale of service and miscellaneous revenues earned by the library are ad hoc, non-recurring and often meant for specific purposes with restrictions on reallocation and use. Normally, such (limited) funds are added to the general fund of the parent organisation for allocation through normal budgeting procedure.

It is generally objectionable to charge for library services when the mission is to provide free library services to all. Otherwise, public libraries in particular lose their sanctity. It is debatable that libraries can charge for their services, as charge on traditional services may deter use of library. If public libraries charge for all services and membership, like a private library, one may even demand that it has to generate the entire budget required to run the library. Hence it is necessary to continue to provide all traditional library services free of cost. Any fund generation from fee-based services is only restricted to only new services and the fund so generated should be considered as a supplementary fund. Hence, enrolment or membership fee, caution deposit, book lending fee, usage fee are to be considered with extra care depending on the type of library and the mission of the library. However, nominal overdue charges (library fine), recovery charges for not returned

books and charges for duplicate cards, etc., are well accepted in most circumstances. Sale of withdrawn books, used equipment and furniture, old newspapers, etc., are obviously realised for library fund. Similarly, charges for photocopy service and computer printouts, Internet charges, etc., are grey areas where library can price appropriately to raise its revenue.

The real impact of fee-based services should be in the areas of new services. Increased use of a particular service and changed need among users provide clue for new services. Introducing new services involves set-up cost, but services far outweigh the risk as such new services not only generate revenue but also provide many intangible benefits like enhanced public relations and boosting library image. Hence the primary motive of fee-based new services should not be generating profit or fund but gaining these intangible benefits. Some of the fee-based services could be access to research experience and services, online searching of international databases, document delivery, local and external inter-library loan delivery, internet and other resources charges.

Fee-based new services are not only required to be carefully and strategically planned, avoiding duplicating local services or competing with other local information systems but also promoted with appropriate marketing methods. Pricing of these services is a tricky issue as professional research time, local interlibrary loan and document copying, verification of citation information, translation and other documentation services, copyright charges, taxes and tariffs, staff time, etc., are involved. In addition to extensive marketing and pricing structure, care should be taken not to violate lease agreements, licenses and copyright restrictions, service tax, etc.

- vi) ***Gifts and donations (Mobilising library finance)***: In these days of pressing need for money to run library services, all possible sources of funding need to be explored and if necessary, lobbying for fund taking library clientele into confidence is not wrong. Apart from grants from Government, donations and gifts, various fund generating sources have to be tapped and fund raising activities and campaigns have to be launched. One such example is organising book exhibitions and other sales by “Friends of the library group” in the premises. Gifts and donations are excellent source of supplementing funds for special projects. Citizens are often willing to make significant donations to cover part or all the costs of a new or remodeled library building. However some care should be taken in handling gifts and donations. Firstly, library must have exclusive control over all funds collected, donated or appropriated as library fund. There should not be unusual riders on such funds, i.e., gifts and donations should be transferred unconditionally to treasurer of parent organisation or local authority or a public depository like bank or to financial secretary of the committee or Board. Secondly no gift, donations or grant from charitable institutions be used to justify reducing or replacing the community’s commitment to public funding. Otherwise, library runs the risk of disenfranchising and benefactors-donors may cease according grants to library if they see that their efforts are resulting in reduced public funding for the library instead of improving the resources.

Gifts and donations need not be in cash. Any donation of building or other investments are much better as they provide fund more regularly in the form of rent on space/ accommodation and interest on investments.

10.3.1 Academic Libraries

- a) **University Libraries:** University libraries receive their regular funds from the respective universities and special grants from both the University Grants Commission (UGC) and the State Governments. The UGC grants are mainly plan grants, whereas the State Government grants are mainly non-plan grants. However, government grants are not given to the libraries directly, but government gives grants to the university and then the university allots to the library the necessary share out of the same. The University Grants Commission grants are mainly of three types, viz., recurring, non-recurring, and ad hoc grants.

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

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

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

- c) **School Libraries:** Promoting good library service in schools depends very much on finance. In the case of primary schools, lower fee rates for library services can be fixed as there will be less expensive books needed for students of lower classes. It is necessary that the entire library fee collected from students should be spent exclusively on books and equipment.

At present there are no fixed norms for the provision of finances to school libraries in India. The library fund of school should preferably comprise of

fee collected from pupils, equal contribution from the management, matching contribution from government or local body, other gift or special grant that may at any time be received specifically for the library and donations from public.

The State Government or any education authority administering the school should meet the initial expenditure on setting up of the school library including cost of new library buildings and initial expenditure on fittings and books covering the basic stock needed as a nucleus for library activities.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with the answers given at the end of this Unit.

4) What are the sources of finance for university libraries?

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10.3.2 Public Libraries

Libraries in general and public libraries in particular are expenditure-inclined (or intensive) and ever growing organisations with no (or least) revenue earning capacity but with recurring nature of service and hence recurring demand for ever increasing funds. Hence a permanent assured source of income with enhanced flow of money is required. UNESCO Public Library Manifesto (1994) prescribed that the local or national government should wholly fund public libraries. Historically public libraries had the fortune of generating funds from government sources and patronage of aristocracy. The learned scholars, trusts and NGOs have always been the main source of funds for public libraries. However, during 20th century, particularly after independence, development of public library is regarded a State subject in India. Hence financial resource through levying of cess as per library legislation of State or/ and grant from State Government has become main source to public libraries. In addition, many public libraries are continued to run by voluntary organisations with or without some subscription fee. With the changed circumstances and environment particularly service orientation and diverse functions expected from public libraries, there is a greater need to adopt innovative and new approaches to explore and generate financial resources from different and new sources. The new circumstances are such that aids/assistance may not uniformly come forth as expected during financial crises and requirement may vary from year to year. Hence it may not be safe to exclusively rely on traditional sources of revenue.

Public libraries need to tap all possible sources like cultural associations, private foundations, commercial firms, philanthropists, trade unions, publishers' associations either directly from such institutions or working in co-operation with fund raising associations and organisations like 'Friends of the Library Group',

NGOs, important personalities of the locality and others. A strategic plan with well articulated mission of the library to match the donor's needs or the community requirements has to be developed for the purpose.

In addition, RRRLF and other Government departments and agencies are well known sources of funds for public libraries in India. Sometimes sources from abroad and its specialised agencies, regional organisations, bilateral aids as well as national and international organisations like UN may also provide fund in cash or kind.

Public libraries should not fall behind in generating fund from fee-based services particularly charging for non-traditional new services like demography, product, trend and travel reports, computer prints, reference service, extension classes, training programmes, internet based information services on health, travel, education (scholarship), organising exhibitions, etc.

Having relegated the responsibility of running public libraries to local community, the Government should not escape the responsibility of providing adequate financial assistance. Interestingly, the norm in USA is that Local Government, State Government and Federal Government respectively contribute 60%, 25% and 15% of budget to public libraries. Unfortunately in India, there is no national policy on library and information services and no Union library legislation, and contributions of both Central and State Governments to public library funds have been too low. Transferring 'library' from State List to local bodies by constitutional amendments (73rd and 74th, 1992) has not lead to any improvement in the financial support to public libraries. The National Commission on LIS proposed in 8th Five Year Plan is not yet a reality. However, public libraries can seek some financial support from five year plans, RRRLF, grants from Department of Culture (which runs certain libraries) and grants from National Archive of India (for preservation of rare books).

In fact as early as 1958, K.P. Sinha Committee recommended creation of Block Library Fund and Municipal Library Fund through cess, and both Central and State governments should contribute equal amount with provision to gradually increase state contribution to three times the cess amount. On the other hand, more recently in 1985, Prof D.P. Chattopadhyaya Committee on National Policy of Library and Information Services recommended for 6-10% of education budget for libraries and central government to provide fund under plan expenditure. In addition, it is also recommended that public libraries particularly in rural areas should draw resources from other official agencies like National Adult Education Programme, Agricultural Extension Programme, Distance Education Programme, etc. working at that level. It is also suggested that industrial organisations should also provide finance for libraries. It is unfortunate that compared to the target of 6-10% of education budget, States spent far less than 1% of education budget on libraries. Similarly, compared to suggested standard of more than Re. 1 per capita (1988-89), most states spend much less than that even after 20 years (despite substantial reduction of buying power of Rupee over 20 years). As mentioned earlier contributions of both central and state governments to library fund have been too low.

The main sources of public library revenue are subscriptions, library cess, grants from government and endowments. Considering library subscription as a source

of fund is widely disputed. An equally forceful opposite view is that subscription defeats the whole concept of free public library service advocated by Ranganathan. The report of the Advisory Committee for Libraries, Government of India (1957) also supported the inadvisability of considering subscription as a source of revenue. The Advisory Committee describes such subscription libraries as '*stagnating pools*'. Yet, after half a century, a bold and new review of the situation is required in the light of privatisation, private-public partnership and 'pay and use' philosophies of the time.

So far, Nineteen states in the country have public library legislation and run public libraries under the statutory system which is not uniform. Tamil Nadu, Andhra Pradesh, Karnataka, Kerala and Goa have provision for raising library cess as a surcharge on certain taxes. These states have what is termed 'pure form' of statutory system where Local Library Authority (LLA) created by the Act receives cess, grants from government, special grants for special purposes, gifts, contributions and income from endowments, fees, fines, etc. and has the responsibility to run libraries and provide library services. For example, Tamil Nadu and Andhra Pradesh Library Acts have provided for a cess in the form of surcharge on land and property tax at the rate of six per cent. The Karnataka Act has provided for a library cess in the form of surcharge at the rate of three per cent (later increased to six per cent) not only on land and house tax but also on octroi duty, vehicle tax and professional tax. In addition to the library cess, Karnataka public libraries receive a grant from the government equivalent to three percent (later six per cent) of the total land revenue collection. Other states have what is termed as 'mixed form' of statutory system, where no library cess is proposed, but the respective governments have made provision for grants-in-aid for public libraries. In addition to substantial grant-in-aid, these libraries called by different names like 'Subscription Libraries', 'Recognised Libraries', 'Grant-in-aid Libraries' and 'Affiliated Libraries' are allowed to charge subscription and run by voluntary organisations with gifts and donations. Rest of the States in the country have no legislation (not bound by law/ statutory system to provide public library services), but make direct government efforts as well as provide grant-in-aid to voluntary organisations running public libraries. Experience shows that library cess alone cannot be sufficient to meet the continuously growing needs of public libraries. Besides, the taxable capacities of various local areas of LLA differ significantly, thereby making standard and uniform public library service throughout the country a difficult task.

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

Endowments, charitable trusts and private benefactions could be another source of public library revenue. In countries like USA this is a common feature, whereas in India it is rare. The financial demands of libraries are recurring in nature, whereas funds from endowments are not so. Hence, endowments and

benefactions, though welcome, should not be taken as a permanent or continuing and adequate source of income. Endowments can best be used for erecting library buildings, acquiring furniture and fittings, etc.

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

10.3.3 Special Libraries

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

Self Check Exercise

- Note:** i) Write your answer in the space given below.
ii) Check your answer with the answers given at the end of this Unit.
- 5) State how public libraries get their funds.

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10.4 IMPLICATIONS OF ICT DEVELOPMENTS: E-PROCUREMENT AND E-DOCUMENTS

Stupendous growth of ICT (Information and Communication Technology) during last two decades has touched every walk of life including libraries. With the advent of the Internet, e-commerce has been a great success. This development has made two broad implications on the financial management of libraries and information centers. Firstly, the way procurement and money are handled — received, paid or transferred — has substantially changed to become simple and almost instantaneous. Libraries could send their orders for documents by e-mail as well as they are allowed to search, identify the documents and order electronically by downloading order form from the websites of many international agencies. There is no need to enter bibliographic information or personal/ institutional details in such a process. Till then, it used to take months for procuring publications of societies and obscure publishers, standards, patents and technical reports and extremely urgent articles by making advance payment through bank drafts and sending the same by airmail. Along with e-mail ordering, wire transfer

of money has reduced the delay to some extent. But the real instant ordering and paying on the net for effective e-procurement necessitates use of credit cards or e-cash mode and it is still rare in Indian libraries. The parent organisations (including government) and their accounts departments are still suspicious about possible miss use of credit cards for electronic payments (or e-transfer of money) on the Internet and libraries are not provided with credit cards. As a result tremendous saving in time, efforts and cost incurred by e-procurement is not being availed by large number of libraries.

The second implication of ICT development is concerned with digitisation and procurement of e-documents. More and more libraries are becoming digital at least hybrid in terms of their collection. In fact, acquiring/ creating or subscribing to digital collection has dramatically changed the collection building process of libraries and information centers. The outright purchase of an e-document (with full rights to use and share like a printed book) is only a minor part of acquisition of e-documents. Large part of digital collection is not owned but accessed for a limited period under totally new terms of subscription or lease agreement. Such agreements of accessing digital libraries impose restrictions on repeated use for a longer (indefinite) period and for sharing with others. In this scenario, resource sharing and consortia arrangements add further complexities as member libraries need to collectively pay for such subscription to digital collections/ libraries. Normally publishers allow subscriber to access e-collection either through a password or make it IP address enabled access. Sharing an e-document not owned is difficult and sharing a password is illegal. Having realised that there is no control over possible sharing of password by libraries, over 95% of publishers offer only IP address enabled access to their e-content (like e- journals), which drastically restricts sharing with other libraries. In addition, lease agreements of such online subscriptions are one-sided and put-forth many stifling conditions on libraries. Pros and cons of such lease agreements are beyond the scope of this Unit. One important point from the angle of financial management of libraries is that when the subscription ends, library will have no access to back issues of the journals for which libraries have earlier paid. Further it is very difficult to account for collective/ collaborative payments in consortia mode. Lower usage, saving on staff time and geographical location of member libraries are favourable aspects in resource sharing and consortia. However, such joint collection development and priority access of inter-library loan provide savings if consortium deliveries can be achieved at a lower cost than alternative sources of inter-library-loan and document delivery. Further, assessment of potential utility or actual use of such e-collection is quite difficult as statistical data pertaining to access/ click/ use provided by publishers are often hyped and misleading. Even costing of e-journals is often misrepresented by bundling together a large number of e-journals of the same publisher without option to eliminate unwanted/ irrelevant ones. In some particular circumstances, the entire payment for consortia subscription is made by another (usually government) agency leading to total lack of assessment of need and cost benefit analysis.

Consortia payment: Budget and funding are thorny issues in consortia mode. As explained above, member libraries are required to transfer part of library budget for consortium and yet they will have no control over the transferred amount. Consortium libraries themselves need to have a legal entity with permission and authority to deal with such pooled money. Though resource sharing and library consortium are considered as possible solution to the financial

crunch faced by libraries, co-operative nature of resource sharing and consortium may lead to bureaucratic problems of finance and implementation. A memorandum of understanding between the host institution and the consortium regarding operational, administrative, legal, financial and programmatic requirements is necessary. The host institution is required to act as fiscal agent for the consortium with the responsibility for accepting, accounting and administering its funds, grants and contracts, maintain consortia budget and all related accounts.

Lastly, some typical general problems and issues of fiscal management in libraries are briefly listed below.

- 1) A large part (2/3 or more) of a library budget is consumed by *reading materials*.
- 2) The average *raise in prices* of reading materials is always above the average inflation rate.
- 3) Prices of *serials and journals* increase much more rapidly than that of monographs.
- 4) Some of *grey or semi-published literature* like theses, technical reports and standards are abnormally costly even though photo copies are normally supplied to libraries.
- 5) The *value of Rupee* is steeply falling against hard currencies like US Dollar, Sterling Pound and Japanese Yen.
- 6) Marginally increased *budgets* are unable to match the devaluation and increase in prices.
- 7) Even during the periods of *tight budgets*, it is the reading materials budget of a library is more vulnerable than salary and other maintenance budget.
- 8) *Allocation* of reading materials budget among different subjects or different types of documents is becoming increasingly difficult.
- 9) The *unconfirmed prices and unexpected increase* in prices of reading materials further complicate the fiscal management (for example, supplementary invoices for additional volumes of journals).
- 10) Inconsistent *conversion rates* are applied by manipulating the date of billing.
- 11) Increased *postage* also adds its might to the problem.
- 12) The process of *encumbering* the available meager budget and moving 'monies' back and forth in a manual system can lead to errors and too broad approximations of expenditures, commitments and available balance funds. The process of encumbering funds is further complicated by fiscal policy of parent organisation normally bound by the artificial year called financial year. For these reasons and also sudden windfalls during end of financial years constructing budget and creating a monetary plan is made difficult.

10.5 LIBRARY EXPENDITURE PLANNING

You now have an idea of how a library gets finances for running its library services. Expenditure is the second important aspect of financial management. Library

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

10.5.1 Importance of Library Expenditure

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

10.5.2 Nature of Library Expenditure

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

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

10.5.3 Principles of Library Expenditure

- a) Principle of maximum aggregate benefit: The library exists for the service of different types of readers. Therefore, as a librarian, you should be neutral, and should see that no particular individual is specially benefited by your expenditure policy. You should plan your library expenditure in such a manner that majority of readers derive maximum benefit of library use.
- b) Principle of advance planning: The library expenditure should be planned in advance and a proper estimate should be made for different items so that adequate and balanced revenue may be allotted to different heads. Orders should be placed in advance so that the needed materials are acquired in time. The Librarian should avoid last minute purchases.
- c) Principle of equitable allocation: The library funds should be equitably allocated for spending on different types of reading material covering various

subject areas. For example, books on science and technology are costlier than that of other language books. Costly reference books become out of date faster in some subject areas when compared to others. All such factors are to be taken into consideration while spending money for library use.

- d) Principle of economy: It means that you should not spend more than the necessary amount on any item, and should not exceed your sanctioned grant. Unnecessary duplication should be avoided, because the extra amount thus saved could be better spent on purchasing new alternative titles covering additional subject areas.

10.5.4 Classification of Library Expenditure

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

Self Check Exercise

- Note:** i) Write your answer in the space given below.
 ii) Check your answer with the answers given at the end of this Unit.
- 6) State the major items of expenditure of libraries.

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10.6 SUMMARY

This Unit deals with the financial management of libraries. Financial management in service and NFP organisations has several problems attributable to the characteristics of such institutions. Libraries, being service institutions, seldom earn revenue and hence, have to be funded almost entirely by their respective parent organisations or by governments in case of public libraries. Adequate and continuous supply of funds is necessary to sustain library and information services.

There are number of different sources like regular grants from parent organisations, ad hoc grants from other organisations, grants from endowments, fees, subscriptions, sale of service, etc. through which finance for libraries flow.

Libraries spend their funds on books and journals, salaries and allowances of their staff, development of library, documentation and information services, building, equipment, furniture, etc. The expenditure is normally channeled

according to set rules and procedures, conforming to some guiding principles to get maximum benefits.

Libraries have, by and large, restricted their financial management to preparing budget and managing their operational fund that too budget for reading materials. Most of the exercises of costing and cost benefit analysis are academic in nature and have not been tried out and hence, not led to any significant changes in the decision making process of libraries. Economic theory of library is still less known phenomenon for practitioners. Vast array of financial management techniques and tools are largely unexplored in the library context.

10.7 ANSWERS TO SELF CHECK EXERCISES

- 1) Financial management is the study of principles and practices involved in financial operations of a library. Its scope includes acquisition, distribution and utilisation of funds, balancing revenue and expenditure, general control and evaluation of financial matters. Important components of financial management are:
 - i) Financial planning
 - ii) Forecasting of receipts and disbursements
 - iii) Realisation of funds and revenues
 - iv) Allocation of funds
 - v) Utilisation of funds
 - vi) Financial accounting
 - vii) Financial control
 - viii) Financial auditing
- 2) The principles that govern financial management are:
 - i) Effective control
 - ii) Simplicity
 - iii) Regularity and farsightedness
 - iv) Economy, and
 - v) Flexibility
- 3) Service-oriented and not-for-profit organisations have certain characteristics distinct from those of profit- oriented organisations. They are as follows:
 - i) Services cannot be stored and hence, there is no ‘inventory’ in service-oriented organisations. Services unsold are services lost.
 - ii) They are labour intensive organisations.
 - iii) There is a dominance of professionals in such organisations.
 - iv) Service-oriented organisations face the difficulty of measuring the quantity and quality of services rendered. Success of these organisations depends both on how much service is rendered and how well rendered.
 - v) Quality of service cannot be inspected and measured before rendering.

- vi) There is no single criterion (like profit) to measure success of service-oriented organisation. Multiple objectives, lack of relation between costs and benefits and difficulties in measuring performance and comparing performance of different units of the same organisation are some peculiarities of service-oriented organisations.
 - vii) Market forces play less significant role in service-oriented organisations.
 - viii) Service-oriented organisations tend to become political organisations due to lack of shareholders and differences in ownership and power.
 - ix) Inadequate management controls has become tradition in such organisations as cost accounting and other control techniques are believed to be for profit-oriented organisations.
 - x) They are relatively small and operate usually on a single location basis.
- 4) The sources of finance for university libraries are:
- i) Grants from the respective university budget
 - ii) Special grants from the University Grants Commission
 - iii) Library fees
 - iv) Fines or overdue charges
 - v) Sale of publications, etc.
- 5) Public libraries get their funds from:
- i) Library cess collected in States where Public Library Acts are in force.
 - ii) State Governments provide matching grants equal to the amount collected by way of library cess.
 - iii) In some States, the entire funds come from Government grants.
 - iv) Member-subscription is also sometimes a source but is very negligible.

10.8 KEYWORDS

Cost Accounting : It is a process of accounting for cost by relating expenditure to cost centre and cost activities. In management accounting, cost accounting establishes budget and actual cost of operations, processes, departments or product and the analysis of variances, profitability or social use of funds.

CBA -Cost Benefit Analysis : The ratio of the benefits of a given project to its cost, taking into account the benefits and costs that cannot be directly measured in Rupee. CBA has been considered as a valuable tool for increasing people's awareness of the costs and benefits of information and documentation as a production factor and to provide better basis for budgeting and strategic planning.

**CEA-Cost Effectiveness:
Analysis**

A way of finding the least expensive means of reaching an objective or a way of obtaining the greatest possible value from a given expenditure. While CBA seeks to develop standards and criteria for determining how well the existing services of a library meet the requirements of its users, CEA aims at discovering new, improved procedures and devices for providing better services to the users.

Economics

: It is the branch of social science that deals with the production and distribution and consumption of goods and services and their management. The study of how the forces of supply and demand allocate scarce resources. Subdivided into microeconomics, which examines the behaviour of firms, consumers and the role of government; and macroeconomics, which looks at inflation, unemployment, industrial production, and the role of government. It is descriptive and concerned with what is and what ought to be. It deals with relationship of inputs to the outputs and eventually to supply, demand, markets, sales, prices, value, utility, etc.

Financial Estimation

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

Financial Forecasting

: It is forecast of the expected financial position and the results of operations and cash flows based on expected conditions. It involves a systematic projection of expected actions of management in terms of financial statements, budgets, etc. using past records, funds flow behaviours, financial ratios and expected economic conditions in the industry and the firm.

Financial Management

: Financial management encompasses the two core processes of resource management and finance operations. It is an element of management dealing with acquisition, distribution and utilisation of funds.

Library Expenditure

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

Library Finance

: Sources of financial flows and expenditures.

Library Income

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

- Macroeconomics** : Industry and national level economic system with the objective of maximisation of profit.
- Microeconomics** : It is concerned with behaviour of individuals, firms and markets.
- Non-plan Grants** : Regular budgeted grants given every year.
- Non-recurring Expenditure** : Expenditure that do not repeat every year (e.g. building, equipment, machinery, etc.).
- Plan Grants** : Funds made available on projects that go under annual plans, five-year plans, etc.
- Ratio Analysis** : Single most important technique of financial analysis in which quantities are converted into ratios for meaningful comparisons, with past ratios and ratios of other firms in the same or different industries. Ratio analysis determines trends and exposes strengths or weaknesses of a firm and hence, used for evaluating the performance, setting standard and estimation.
- Recurring Expenditure** : Expenditure that repeats every year e.g. books, journals, staff salaries, etc.
- Welfare Economics** : It is a branch of economics that uses microeconomic techniques to simultaneously determine allocative efficiency within an economy. It deals with cost-benefit analysis of the allocation of resources, economic activity, and distribution of the resulting output on a society's welfare. It provides theories and techniques to analyse operations of NFP institutions.

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UNIT 11 BUDGETING TECHNIQUES

Structure

- 11.0 Objectives
- 11.1 Introduction
- 11.2 Library Budget and Financial Planning
- 11.3 Budgetary Methods and Techniques
 - 11.3.1 Line Item or Incremental or Historical or Object-of-Expenditure Type Budgeting
 - 11.3.2 Formula Budgeting
 - 11.3.3 Programme Budgeting
 - 11.3.4 Performance Budgeting
 - 11.3.5 Planning Programming Budgeting System (PPBS)
 - 11.3.6 Zero-Based Budgeting (ZBB)
- 11.4 Budgetary Norms and Standards
- 11.5 Methods and Techniques of Financial Estimation
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- 11.6 Summary
- 11.7 Answers to Self Check Exercises
- 11.8 Keywords
- 11.9 References and Further Reading

11.0 OBJECTIVES

After reading this Unit, you will be able to:

- discuss library budget and its features;
- describe budgeting and financial planning processes;
- explain types of budgetary methods;
- highlight budgetary standards, norms and principles;
- apply norms and standards to work out financial estimates for different types libraries viz., academic, public and special libraries; and
- differentiate budgetary methods, prepare an outline of a library budget and maintain accounts using appropriate records conforming to audit requirements.

11.1 INTRODUCTION

In the preceding Unit of this Block, you have learnt about the financial management of libraries in general and sources of funds as well as circumstances under which budgetary system has to operate in service-oriented and not-for-profit organisations. In this Unit, you will learn what is budget, why it is required in libraries and information centres, how it is prepared and operated together with advantages and disadvantages of different budgetary methods and techniques. Library being an expenditure-oriented institution, the central aspect of financial management is the budget. Budget is a statement of income and expenditure. It

provides guidance in spending the appropriated funds through a period of time. It is also an instrument of control, communication, coordination, evaluation and motivation. In this Unit, we shall study the basic features of a library budget.

Budgeting is one of those managerial functions you would have studied as part of POSDCORB in Unit 1 (Principles and Functions of Management). In addition to being a key managerial function, budget is both a plan document and a control mechanism. It is a plan document as it provides projected futuristic plan for library in terms of money and it is a control mechanism as the budgetary control ensures checking the performance against plan and helps to correct deviations, if any, from the performance targets.

Budget being a *road map* for the delivery of library services in the subsequent years, provides a *fiscal foundation* for library operations. It provides opportunity to request necessary funding for established services as well as supplemental support for increased use and for new services. It is a way to track required revenues and reportable expenditures. It involves details and cost factor of each activity together with future growth and promises of library services. In view of cost factors involved, there is also a need for standards for operational procedures.

11.2 LIBRARY BUDGET AND FINANCIAL PLANNING

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

It is already stated that budget is a systematically prepared statement of estimated revenue and expenditure of an institution for a period of time, usually a year. The objective of this process is to produce financial plan. Budget serves dual purpose of limiting expenditure to income and assuring wisely planned spending. Financial planning and budgeting have certain obvious advantages. They make goals clearer, assist in fixing responsibility, reveal weaknesses in the structure of the organisation, force quantification of targets and achievements, lead to most productive use of resources, pinpoint timely actions and indicate need for corrections from deviations, if any. However so budgeting in general can also cause some problems.

- i) It may lay too much emphasis on easily observable factors (e.g., circulation figures of libraries).
- ii) Budget may tempt one to become routine without improving operations.
- iii) Library services are not quantifiable in terms of Rupee.
- iv) Budget requires continuous adoption to meet changed circumstances.
- v) It does not work automatically.
- vi) Hence, budget and budgetary control are required to be used intelligently.

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

As said before, a budget is also a very important instrument of control, communication, coordination, evaluation and motivation. It controls as it channels the expenditure according to a set financial rules and procedures. Budget estimates communicate to the staff and others concerned, the total financial outlay of the institution and allocation of funds for each major item of expenditure and regulates spending. It enables coordinating through sharing of common expenditure of different units not only to economise on expenditure but also to maximise fund utilisation. It helps evaluating performance on the basis of the utilisation of funds within the prescribed period. Above all, budget motivates staff to perform well, for funds have been provided for the activities for which they were sought, envisaging future developments. All the above attributes and merits of budget would equally apply to library budget.

11.3 BUDGETARY METHODS AND TECHNIQUES

Every library, no matter how small, has to operate with a budget. In most of the libraries, the librarian and her/his senior staff prepares the budget, according to budgetary norms issued by the authorities. The budget is scrutinised, whetted, if necessary, and approved by the Library Executive Committee before it is sent to the higher authorities for its final approval and sanction. The general practice is to follow the methods and procedures of parent organisation. Being special service of comparatively limited scope some small special libraries may be exempted from preparation of detailed budget. There are a few methods of budgeting for preparing library budgets which include traditional ones practiced by many libraries and the more innovative ones that have, in recent years, found their way, into libraries. These budgetary methods are discussed in the subsequent sub-sections.

11.3.1 Line Item or Incremental or Historical or Object-of-Expenditure Type Budgeting

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

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

11.3.2 Formula Budgeting

Based on financial norms and standards (to be discussed in the next section) this method tries to relate some inputs like users served, academic programmes supported and ratio of book stock to total funds of parent body. The formulae are used for financial estimation as well as budget justification. This appears to be a broad and quick method and hence saves lot of time. But it does not account for finer variations in respect of each library and its customers and services.

11.3.3 Programme Budgeting

This method propounded originally in Hoover Commission Report (1949) has three steps. They are: (i) statement of agency (i.e., library) objectives (ii) full consideration of alternative ways and (iii) logical selection of the best based on effectiveness and efficiency. Extended from line-item method, this method tries to answer the questions 'what purpose the money is being spent?' and 'how resources have to be deployed for each programme?' and more suitable for a contracting economy. Accordingly, financial plan is presented as programmes and subprogrammes built upon work units or workloads. Work units are assumed to be measurable and the work unit costs are building blocks of the programme budget.

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

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

11.3.4 Performance Budgeting

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

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

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

11.3.5 Planning Programming Budgeting System (PPBS)

This method of budgeting was first proposed by USDOD (United States Department of Defence) (1961). Two key elements of PPBS are budgeting and systems analysis. As an extension of programme budgeting, PPBS involves systems analysis, OR (Operation Research) and other cost-effectiveness processes to provide a more systematic and comprehensive comparison of costs and benefits of alternative approaches to a policy goal or programme objective. This establishes a rational basis to enable decision maker to choose between alternative programmes.

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

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

11.3.6 Zero-Based Budgeting (ZBB)

The method, developed by Peter Phyrre during early 1970s, requires thorough knowledge of the organisation, lot of time, effort and training. Having much in common with PPBS and opposite to historical budgeting, it emphasises current activities and the necessity to justify each part of the programme every year. It assumes a budget of 'zero' for each programme until one convinces the appropriating authority that the programme is worthwhile and deserving support at a specified level. It does not allow for incremental growth in budget. ZBB is an operating, planning and budgeting process which requires each manager to justify her/his entire budget request in detail from scratch (hence zero-base) and shifts the burden of proof to each manager to justify why s/he should spend at all. This approach requires that all activities be identified and developed as "decision packages" and systematic evaluation and ranking of these "decision packages" preferably using a computer. It does not take into account of what happened in the past but places emphasis on the current activities. Every programme and activity is spelled out in detail and the financial requirements are worked out without any reference to the past. In other words, request for financial support has to be established afresh every year. No activity, in fact, could continue simply because that activity was undertaken in the previous year. In other words, the entire budget is justified from scratch.

Steps involved in preparation of ZBB are:

- Activities/ programmes are grouped to lowest level entity,

- Objectives and activities of each programme examined and alternative methods evaluated,
- Programmes are then grouped into a series of ‘decision packages’ with their statement of purpose,
- Ranking of the ‘decision packages’,
- Cut-off point corresponds to the total budget allocation.

ZBB improves plans and budgets of libraries and helps to develop good management teams. It also helps to accrue follow on benefits over the years. Yet the serious problem of enormous time and efforts required together with other administrative problems as well as problems of developing and ranking ‘decision packages’ prevents its adoption in libraries.

Some Observations: Some of these budgetary methods are of recent origin and present a more readily understandable view of budgetary requirements of activities and services. A more objective justification for them makes them better instruments for purposeful spending. In practice it is necessary to understand the ‘politics’ of the budget process within the parent organisation and look for opportunity for personally participating in the final negotiations/ deliberations as well as using personal informal contacts effectively.

In India, almost all libraries follow the conventional historical method of budgeting. It is only in recent years that some attention is given to other newer methods. One aspect that needs careful examination is that most library functions and services are of a continuing nature and cannot be discontinued on any account without reference to its past. While it is necessary to evaluate performance and bring improvements to ensure quality of service, discontinuity of existing services would prove undesirable, particularly if conditions do not warrant. It is, however, possible to make a more objective assessment of these methods of budgeting, only if Indian libraries start making their budgets by these newer methods and gain sufficient experience in their operations.

Self Check Exercise

Note: i) Write your answers in the space given below.

ii) Check your answers with the answers given at the end of this Unit.

1) List the different methods of preparing library budgets.

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2) Explain briefly the features of Zero-based Budgeting.

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11.4 BUDGETARY NORMS AND STANDARDS

For the purpose of financial planning and budgeting, standards and norms have been set/proposed by professional experts, committees and bodies. They are quite useful in estimating budget, seeking and justifying funds as well as allocating budget among various items of expenditure.

Having got some idea on the methods of budgeting, let us now discuss the standards and norms that form the basis of estimating library funds required and also the distribution of funds to major items of expenditure within the total library budget. We will discuss the basis for estimating financial requirements of libraries in the next section with three important methods of estimating funds, namely, i) per capita method, ii) proportional method and iii) method of details. These methods make use of established standards and norms. However, the other aspect of budgetary norms and standards that needs attention in this section is the actual distribution of budgetary funds to different competing items of expenditure. The major items of expenditure in libraries are books and journals, salaries and allowances, both of which are to be combined to generate services. Ranganathan has suggested that the proportion of expenditure of a university library on these two major items be as follows:

Staff	:	50%
Books and other reading materials	:	40%
Miscellaneous	:	10%

The University Grants Commission Library Committee (1957) has suggested that a university library with 5,000 students and 500 teachers and research fellows should have a budgetary provision of Rs.3,50,000 out of which Rs.1,75,000 would be spent on books, journals and other kind of reading materials, and a similar amount on staff, implying thereby that the expenditure on books and staff may be equal. But general trend on expenditures in libraries tend to be higher for staff salaries than for books. Taking into account the recommendations of University Grants Commission, university and education commissions and library experts, the general norms appear to be as follows:

Salaries and allowances	:	50%
Books	:	20%
Periodicals	:	13%
Binding	:	7%
Others (supplies, maintenance, etc.)	:	10%

In the case of public libraries, the distribution is more or less the same for the two major items of expenditures.

Salaries and allowances	:	50%
Books	:	20%
Periodicals and Newspapers	:	5%
Binding	:	5%
Others	:	20%

Some Observations: Current thinking on library and information services, library budgeting and related aspects, is on the following lines.

- i) Library and information services are to be totally oriented to user needs, irrespective of the types of libraries. User needs must be systematically assessed and obtained, on the basis of which libraries should organise their services.
- ii) Library budgets, consequently, are to be in tune with need-based services.
- iii) Unit costs of every operation in a library have to be worked out and budgetary estimates have to be built on this data. Cost of library operations and services, particularly in India, is not attempted. Libraries mostly operate on appropriated funds by the parent organisations without any scientific basis for allotment. Cost accounting is essential for fixing budgetary estimates.
- iv) With tremendous increase in the cost of books, journal subscriptions, staff salaries, library and information services, etc. the question very often arises, whether library services should be continued to be given without any charge. Some of these services like literature search, document supply, compilation of bibliographies, SDI, CAS, etc. can be priced. Of course, in the context of Indian conditions these services may be subsidised partially.

On the whole, a more scientific basis for library expenditure has to be evolved in view of the importance of library services. Library budgeting has to be more innovative and in tune with the new demands.

Self Check Exercise

- Note:**
- i) Write your answer in the space given below.
 - ii) Check your answer with the answers given at the end of this Unit.
 - 3) State attributes of library budget.

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11.5 METHODS AND TECHNIQUES OF FINANCIAL ESTIMATION

By now you have realised the fact that the success of any institution depends upon the adequate and regular flow of finances. This is true with libraries also. The foundation of proper financing depends upon the correct and effective estimation. Just like government, institutions, individuals, and families attempt at making financial estimations of their needs and resources, libraries also have to prepare financial estimates. How to estimate, on what basis, and how much finance a library requires depend upon the age, jurisdiction, quantity and quality

of reading material, number of readers, and other factors relating to that particular library.

Some important bases for financial estimation for budget of libraries are:

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

Three methods generally used for estimating library finances are per capita method, proportional method and method of details. These methods are discussed in the following sub-sections.

11.5.1 Per Capita Method

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

The University Grants Commission Library Committee (1957) recommended that a university should provide Rs. 15 per student and Rs. 200 per teacher for acquiring reading material for its library. The Kothari Education Commission in 1964-66, however, recommended that “as a norm, a university should spend each year about Rs. 25 for each student and Rs. 300 per teacher”. Ranganathan suggested that per capita expenditure on university and college libraries should be Rs.20 per student and Ps. 300 per teacher. In schools, per student appropriation at the rate of Rs. 10 should be made available for the libraries. For public libraries, Ranganathan suggested, 50 Paise per capita expenditure, way back in 1950. All these per capita norms are old and obsolete. Now, the per capita figures must be much higher than that prescribed decades ago and this is the inherent limitation of the method as it does not provide for inflation and devaluation. It may be better to relate per capita to cost of living index or any suitable index so that the per capita norm automatically gets revised.

11.5.2 Proportional Method

This method presupposes that the authorities provide adequate finances to the libraries out of their regular budget, and that a particular minimum limit is fixed. A generally used measure of adequate support is the percentage of the institutional

budget which is allocated for library purposes. Various standards have been recommended for deciding this limit in India. The University Education Commission had recommended that 6.5 per cent of a University's budget would be a reasonable expenditure for its library. The Commission suggested that "this expenditure could vary from 6.5 to 10 per cent, depending on the stage of development of each university library". In practice, majority of the universities in India hardly spend three per cent of their total budget on their libraries. It is generally agreed by most authorities that a college should allocate to the library four to five per cent of its total expenditure. Ranganathan suggested that 6 to 10 per cent of the total budget should be earmarked for public library purposes. This proportional method of budgeting is likely to lead to a high disparity in case of special libraries as the budgets of high technology and capital intensive organisations are much larger than pure research, social science and humanities institutions.

11.5.3 Method of Details

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

For estimating public library finances, Ranganathan suggested the circulation of reading material be used for recurring/current expenditure and nonrecurring/capital expenditure. The Government of India Advisory Committee for Libraries (1957) followed almost similar method for estimating the financial requirements for establishing a countrywide public library system.

The UGC Library Committee (1957) in its report suggested a staff formula for finding out the quantum of library staff members of various categories required for college and university libraries. It has also laid down their respective pay scales. The total amount required for meeting the cost of the staff can be calculated by this formula. For cost of books and other reading materials, the Committee has suggested a per capita expenditure formula.

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

Self Check Exercise

Note: i) Write your answer in the space below.

ii) Check your answer with the answers given at the end of this Unit.

4) List the methods of estimating funds for libraries.

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11.6 SUMMARY

In this Unit, we have discussed library budget, its features and attributes. A library, being a service institution, offering its services without any price, does not support itself financially. Funds have to be provided to a library by its parent organisation or by the government. From the appropriations of funds made, library organises and regulates its expenditures for its functions and services according to certain norms and procedures.

Methods of budgeting like line item budgeting, Programme budgeting, Performance budgeting, Planning Programming Budgeting Systems and Zero-Based Budgeting are briefly introduced in this Unit. In Indian libraries, the conventional line item budgeting is quite common. Budgets are usually prepared in conformity with standard norms, particularly with reference to the distribution of funds towards different competing items of expenditure. The proportion of funds for staff salaries is generally more than that of books and journals in any library.

Three methods are generally considered for estimation of budget, namely, per capita method, proportional method, and method of details. Per capita method suggests a minimum sum of money per user such as students, faculty and research scholars in the case of university and college libraries. Hence, population is an important factor while working out funds for public libraries. Proportional method prescribes a percentage on the total budget of the parent organisations for libraries, whereas method of details takes items of expenditure for libraries as the working data for allocation of funds.

11.7 ANSWERS TO SELF CHECK EXERCISES

- 1) The methods of budgeting are: (i) Line item budgeting (ii) Formula budgeting (iii) Programme budgeting (iv) Performance budgeting (v) Planning programming budgeting system (vi) Zero-based budgeting.
- 2) Zero-based Budgeting (ZBB) is a new concept in budgeting which bases its expenditure estimates on specific programmes and their performance without any reference to their past expenditure. It requires fresh estimates to be made for every activity. Commencing from point zero, each activity has to be justified. Infact, the entire budget has to be justified from scratch.
- 3) A library budget is a record of funds appropriated to it and the estimated expenditure for a financial year. This record serves as a guide to the library's functions, activities, programmes and services throughout the year. The appropriations of funds and the estimated expenditure should balance each other. It is an instrument of control, communication, coordination, evaluation and motivation.
- 4) The methods of estimating library funds are:
 - i) Per capita method whereby a minimum sum of money is determined for every student, faculty member or research scholar in the university and college libraries.

- ii) Proportional method prescribes a fixed percentage on the total budget of the parent organisation's research budget, or education budget of states.
- iii) Methods of details take into account the actual amount of expenditure spent on each item.

11.8 KEYWORDS

Budget : A financial and/or quantitative statement prepared and approved prior to a defined period of time of the policy to be pursued during that period for the purpose of attaining a given objective.

Budget Centre : A section or area of an organisation under the responsibility of a manager for which budgets are prepared; these budgets are compared with actual performance as part of the budgetary control process. A budget centre may be a function, department, section, individual, cost.

Cost-Analysis (Analysis of Cost Behaviour) : Knowledge of the reaction of individual costs (i.e., fixed, variable and semi-variable costs) and expenses to changes in the volume of activity. Cost- analysis helps (i) planning the amount of costs to be incurred in future periods (ii) estimating profits from future activities; and (iii) determining whether costs have been adequately controlled by those responsible for their incurrence.

Cost Centre : A location, person or item of equipment, or a group of these in or connected with an undertaking in relation to which costs may be ascertained and used for the purposes of cost control or product costing. Cost Centre is a non-revenue-producing element of an organisation, where costs are separately figured and allocated, and for which someone has formal responsibility. The personnel function is a *cost centre* in that it does not directly produce revenue.

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

Financial Forecasting : It is forecast of the expected financial position and the results of operations and cash flows based on expected conditions. It involves a systematic projection of expected actions of management in terms of financial statements, budgets, etc. using past records, funds flow behaviours, financial ratios and expected

	<p>Flexible Budget</p>	<p>economic conditions in the industry and the firm.</p>
		<p>: A budget that recognises the difference in behaviour pattern of fixed and variable costs and which is designed to change in relation to the level of activity actually attained.</p>
	<p>Operating Statement</p>	<p>: A summary of the operating costs (and, where appropriate, of the revenues and profit margins) of the whole or part of the activities of an enterprise for a given period. A detailed periodic report of the financial results of a firm's operations, as compared with budgeted and previous period's figures.</p>
	<p>Profit Centre</p>	<p>: A kind of responsibility centre in which the manger is held responsible for both revenues and costs, and hence for the resultant level of profit.</p>
	<p>Prospective Pricing</p>	<p>: Setting price prior to the performance of the service is called prospective pricing.</p>
	<p>Responsibility Centre</p>	<p>: A personalised group of cost centres under the control of a 'responsible' individual.</p>
	<p>Restricted Funds</p>	<p>: Restricted funds do not allow flexibility in use of funds. Like grants for specific purposes, restricted funds cannot be used for purposes other than that specified. Grants or donations that require that the funds be used in a specific way or for a specific purpose. They can be considered a contract between the donating party and the receiving party. Restricted funds are often associated with non-profit organisations, since a donation might be made to the organisation for a specific use only. If the funds are used for something other than what was stipulated, the organisation could be required to pay the funds back. For example, a restricted funds gift to a university could indicate that the funds only be used for scholarships in a specific department.</p>
	<p>Unit Cost</p>	<p>: Expenditure incurred in producing one unit of a good or service, computed usually as average cost. Cost of a single unit of operation, e.g. cost of cataloguing a single book.</p>
	<p>Unrestricted Funds</p>	<p>: Unrestricted funds allow flexibility in use of funds and reallocation of funds from one head to another.</p>

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UNIT 12 BUDGET PREPARATION

Structure

- 12.0 Objectives
- 12.1 Introduction
- 12.2 Preparation of Library Budget
 - 12.2.1 Contents of a Budget Document
 - 12.2.2 Principles of Budget Making
 - 12.2.3 Justifying the Budget Request
 - 12.2.4 Approval of the Budget
 - 12.2.5 Notification of the Budget of the Library
 - 12.2.6 Budget Excess
- 12.3 Use of Funds, Financial Control and Accounting
 - 12.3.1 Allocation of Funds
 - 12.3.2 Encumbering Funds
 - 12.3.3 Financial Control
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12.0 OBJECTIVES

You already know that library budget serves as an instrument of control, communication, coordination, evaluation and motivation. Studying this Unit will enable you to prepare an outline of a library budget and maintain accounts using appropriate records conforming to audit requirements.

After reading this Unit, you will be able:

- explain the process of budget preparation;
- highlight contents of budget document;
- justify budget;
- describe budgetary control process; and
- discuss the use of funds, financial control, accounting and auditing.

12.1 INTRODUCTION

In the preceding Unit of this Block, you have learnt about the budgeting techniques and principles in general and certain standards and norms for preparation of budget. This Unit deals with the important phase of financial management, namely, budgeting, financial control and accounting. Library being expenditure oriented institution, the central aspect of financial management is the budget, which is a statement of income and expenditure, providing guidance in spending the appropriated funds through a period of time. In this Unit, we shall study the basic features of a library budget.

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

As described earlier, budget is a *road map* for the delivery of library services in the subsequent years and provides a *fiscal foundation* for library operations. It involves details of each activity and considering cost factor involved in each activity together with future growth and promises of library services.

12.2 PREPARATION OF LIBRARY BUDGET

Library budget preparation is not just the responsibility of librarian but it is the responsibility of everybody involved in running the library. Inputs need to freely flow from bottom most line and front end soldiers to unit/section heads and from section heads to librarian. Budget preparation has to follow certain budget calendar, guidelines, characteristics and costing inputs. Budget should have clarity, accuracy, consistency and comprehensiveness. In other words, there should not be any ambiguity in projection and no vagueness in cost and other estimates used. Budget is a good comparative assessment device and hence, it should reflect consistency with what happened in the past. Above all budget should provide a total/complete picture of all fiscal activities of the library.

Even though budget activity in libraries is oversimplified as an annual affair, in the strict sense budget work should take place throughout the year. Activities in the budget calendar deals during beginning and mid of the year (often, financial year is from 1st April to 31st March of the succeeding year). While reviewing annual report and previous years data takes place at the very beginning of the year to ascertain trends, patterns and changes, the mid-year peak activity includes review of expenditure and revenues to determine whether the current budget is on track. Usually a new Budget Estimates (BE) for the next year and a Revised Estimate (RE) for the current year (i.e., RE of previously estimated BE) are prepared once in a year around mid of the year so that the same is reviewed, adjusted and finally approved by the authorities well before completion of the financial year.

Budget activity of the library presupposes the type of budgetary technique adopted by the parent organisation. Even though there are several budget types like Program Budgeting, PPBS and Zero-Based Budgeting, it is the traditional Line Item Budgeting is widely used in reality. Similarly, the financial year (FY) followed by the parent organisation has to be invariably followed by the library. In addition, several guidelines of the organisation in consultation with finance and accounts department have to be followed. Generally the Accounts Department of the parent organisation parallelly maintains broad accounts relating to library as part of total accounts of the organisation. Accounting of sanctioned budget along with gifts, donations, earnings, special funds, etc., if any, are maintained by library with greater details than that maintained in accounts department to monitor how funds are used. It is a good practice to periodically reconcile the library accounts with that of finance/accounts department of the parent organisation.

It is necessary that the library professionals have clear understanding of budgetary terms like revenue item, expenditure item, foreign exchange, operating cost, capital cost, etc. Operating activities recur regularly and can be anticipated from year to year whereas capital activities occur irregularly and require special fund raising efforts. Normally, new or remodeled library building, major upgrades of technology, purchase of expensive equipment or furnishings fall under capital activities. It is very important that operating and capital activities are kept separately in the budget. All revenues should be broken down by the source of funding and expenditures are usually grouped in categories with similar products or services tied together.

Another important set of guidelines to be followed while preparing budget of library is whether expansion or growth is desired. If so rate and areas of growth have to be kept in mind. It is necessary to have inputs and guidelines from the authorities, library committee or board, finance committee, etc. Some of the broad guidelines/ indicators usually set by authorities are steady state, controlled growth, selected growth, overall reduction and selective reductions. 'Steady state' is a case of cost to continue and it assumes no changes in the budget or allows only an increase for inflation. On the other hand, 'controlled growth' guideline establishes a determined percentage for the total increase in expenditures. 'Selected growth' tries to establish targeted or permitted increases with no personnel but wage and other expenditure increases for existing personnel are taken care. An 'overall reductions' guideline sets a percentage for total decrease in expenditures of the library. Another possibility is to have 'selective reductions' guideline specifying targets for specific decreases in expenditure. It is also possible that management provide a unique combination of guidelines and the same need to be kept in view while preparing budget for the library.

The process of preparing budget begins with considering what the library hope to accomplish in the next year. It is necessary to have current long-range plan in mind with necessary adjustments/revision made to update it. An important aspect in budget preparation, in recent years, is to note the current and new factors like developments in ICT, resource sharing, networking, consortia, etc. affecting the library. The overall current economic condition of the parent organisation and in the country has also to be kept in view while preparing the budget for library.

Budget estimates depend much on what users require. Hence, it is necessary to document library service needs of users and the library activities necessary to meet those needs. Head of library should widely invite suggestions from library staff on possible new services, additional material and personnel required for 'new services'.

The total financial resources required has to be determined taking into consideration estimated approximate increase for regular budget items, expected revenues, increase in cost, increase in usage, the need for new services, change in number and composition of user community, etc. However, any anticipated resource constraints have to be spelled out how inadequate resources are likely to affect goals of the library.

After drafting the library budget (both BE and RE) each item is reviewed with Finance Committee, Library Committee/Board/Director before submitting for approval. The required funds are secured once the budget document is approved with or without modifications. Occasionally, budget document may need changes during the budget year due to unexpected developments.

The preparation of the budget is the responsibility of the chief librarian who also has the responsibility for allocating and administering funds within the overall activities and services of the library. This responsibility can be delegated to the next level, i.e., department or section heads, but the overall coordination and accountability still rests with the chief librarian. Adequate discussion should take place between the chief librarian and her/his section heads. When the information needed for making the estimates for the library budget has been assembled the next step is the preparation of the budget itself. Preparation of a budget takes substantial time and efforts. Generally during the middle of the current financial year, Budget Estimates (BE) for the next financial year and Revised Estimates (RE) for the current financial year are called for by the office concerned. Estimates are prepared on the basis of past experience, present demands and future expectations of requirements. The estimates should take into account the actual expenditure of previous financial year, spillovers, if any, amount spent up to the date of preparation of the budget during current financial year, foreign exchange requirements (if any), advance commitments to be made for the next financial year, capital items, etc. No set of rules can be given for preparing this statement, but the librarian should bear in mind the impact of inflation on cost of books, periodicals, binding, and other supplies. The increase in enrolment, the probable need for annual salary increases at least comparable to those of the past five years and the possible impact of new technological developments on library economy and efficiency are some of the factors to be kept in mind. Head of the library has to discuss the budget proposal with the section or department heads before the final consolidation. Budget requirements are filled up in a proforma approved by the institution. The proforma commonly used for a historical budget in academic libraries is of two types: i) Schedule of expenditure on pay and allowances of staff ii) Schedule of expenditure on all other items. The above-mentioned two schedules of expenditure usually are made under the following heads.

Schedule of expenditure on staff salaries:

It is usually prepared under the following heads:

- 1) Serial number
- 2) Designation of staff member
- 3) Pay scale
- 4) Basic pay on 1st April
- 5) Total for twelve months
- 6) Date of increment
- 7) Rate of increment
- 8) Total amount of increment (rate x months)
- 9) Dearness pay rate and amount
- 10) Dearness allowance rate and amount
- 11) House rent rate and amount
- 12) Contribution to GPF/CPF rate and amount
- 13) Any other honorarium rate and amount
- 14) Interim relief rate and amount
- 15) Total of amount of columns 5, 8 to 14

Schedule of expenditure on all items:

This contains, inter alia, the following heads:

- Establishment
- Salaries
- Allowances
- Contribution to provident fund, gratuity
- Other recurring expenditure
- Binding
- Stationery
- Postage
- Contingency
- Books, periodicals and back sets
- Other non-recurring expenditure
- Construction or expansion of library building
- Maintenance of library building
- Purchase or repair of furniture
- Equipment
- Employing additional staff for specific time and purpose, such as processing of books needed for special purposes
- Special collections

As mentioned earlier, all the above items are to be shown in four types, viz. actual expenditure for the last year, estimated expenditure for the current year, revised financial estimates for the current year, and estimated expenditure for the next year. Thus, the budget provides a linkage between three years.

12.2.1 Contents of a Budget Document

The budget document is an official document, seen or circulated to several administrative and financial officials of the parent organisation. Hence, it should be self-contained with regard to the activities and services of the library, self-explanatory, well organised and neatly presented. Every item of expenditure with reference to its past allocation and enhanced current requirements must be clearly stated with justification for the extra funds.

The format of contents of a budget document is given below:

- Title page indicating the budget estimates for the year...
- Contents
- Executive summary
- A synopsis of the budget
- Budget at a glance

Part I Goals and objectives of the library in brief together with activities and accomplishments of the previous year

- Anticipated activities and proposed targets for the budgeted year
- Future perspectives

Part II Budgetary estimates: a total view

- Estimates by items on separate page
- Salaries and allowances
- Books and journals
- Library, documentation and information services
- Equipment
- Stationery, postage, etc.
- Building maintenance
- Contingencies
- Miscellaneous

12.2.2 Principles of Budget Making

The budgets of different libraries vary considerably. Nevertheless, there are some elements which are essential and common for different library budgets. They may be reduced to a few guiding principles and applied in the preparation of any library budget. Some of these guidelines are discussed below.

The librarian should be invited by the authorities to submit the library budget. The librarian in turn must consult her/his departmental heads about book funds, and the library staff members about personnel and other administrative costs. The final choice of what goes into the budget and how much to ask for should rest with the librarian.

The librarian should request sufficient funds in each head of the budget to support a sound programme of library development. It is very important to calculate the

expenditure by anticipating income, inflation rate, foreign exchange rates, salary increases, insurance rate, public utility charges, etc. as well as time-delay.

The budget should be prepared and submitted in time. This facilitates recruitment of additional staff, ordering of materials, etc. in a proper way.

The academic library budget should represent library planning in terms of educational goals and not be simply a “crisis” operation in which urgent current needs are hastily converted into Rupee estimates to meet a budget deadline. Planning to meet educational goals implies that the library will take into account proposed new curricular changes, the impact of new courses on library books and personnel, the effect of price increases in binding and like.

The budget should be reasonably flexible in its execution. Classification of the budget categories should enable the library to check its financial records easily against the periodic balance statements.

Some important sources of finance for a library or information centre, as discussed in Unit 10, include (i) regular grants from parent organisation and/or governments, (ii) adhoc grants or subsidies (iii) fines, fees and services charges. Important heads of expenditure of information centre or library (as explained earlier) are (i) collection building and updating (books, journals, reports, etc.) (ii) binding and other maintenance costs, (iii) furniture and equipment, (iv) building, (v) salaries and wages (vi) stationery, postage, etc.

Depending on the size of library or information centre and nature of its parent organisation the complexity of budget and budgetary control system may vary from a simple fairly fixed (constant) voted grant of budget from parent organisation for books, journals and other reading materials to a most complex situation where grants are received from parent institution and other agencies in addition to certain revenues earned. These sources of finance may have several restrictions in their deployment. Allocation has to be done to all heads as explained above and by type of material (i.e., books, journals, reports, etc.), subjects, or by departments, etc. An “effective budgeting can display endless variety” in terms of material (Newton, 1981). The budgeting method used by a library or information centre is normally decided by the parent institution.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with the answers given at the end of this Unit.

1) State the contents of a budget document.

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12.2.3 Justifying the Budget Request

The chief executives of the parent organisation often take the final decision about library budget. The officials who are responsible for providing library funds will quite naturally want to know why the funds are required. They will consider critically the merits of the library request in relation to those of other departments or agencies and the total financial resources at their disposal. It is probable that funds will not be sufficient to meet all the requirements in full and that budget allocations may be affected accordingly. The library budget request should state separately and clearly the purposes for which funds are requested and explain why additional funds may be required in certain categories. The supportive documentation and justification for the budget has to be developed through out the year. Justification for the library's budget will already have been made if the arguments for services have been well presented in detailed and timely reports throughout the year. In other words, budget preparation should not become once-a-year crisis. As stated earlier, it is also necessary to understand the 'politics' of the budget process and build up effective rapport with the key members of the team or committee.

Sometimes the librarian may think it expedient to present an inflated budget, considering the fact that the authorities usually sanction less than what is asked for. This is not a good practice. Padding the budget is not only ethically questionable, but also unwise and inadvisable because it is difficult to justify amounts in excess of proven needs. The librarian is also a part of the college, university or such other parent bodies and, as such, must realise that there are many demands and constraints on the limited resources in majority of institutions. The librarian should neither minimize the requirements of the library, nor be unduly discouraged if the library committee or finance committee is unable to give all that he asks for because of other pressing and urgent requirements of the parent institution. The best that can be done is to present an honest picture of the cost of running a library, in terms of material needed and of services expected for the clientele. After making an honest budget, the budget request must be accompanied by a free, clear, and forceful argument proving the need for the amount asked. Remember that there is no better way of sowing suspicion in the minds of usually hard-headed finance authorities than presenting an unrealistically inflated budget.

While preparing the budget you should remind yourself that, regardless of other values it may have, the budget document must be easily understood and so convincing in its arguments that the appropriating authority will be persuaded to accept it and provide the necessary funds. To produce such a document, you should use all the techniques and supporting data that are available with you.

12.2.4 Approval of the Budget

The librarian presents the budget to the library committee or any other authority for discussion and approval. The library budget, with the approval and recommendations of the committee, is sent to the university office or any appropriate office to be incorporated in the total university or organisation budget. The Executive Council/ Syndicate of the university passes the entire university budget. The visiting committee of the University Grants Commission assesses plan requirements of the university library. The visiting committee visits the

library and discusses the library requirements with the librarian. The approved recommendations are consolidated and submitted for sanction to the University Grants Commission.

In a college, usually the principal of the college approves the library budget, after taking into account the requirements and opinions of the heads of different teaching departments, and the requirements in different subject areas. In public and special libraries, similar procedures are there to get the budget approved and sanctioned by appropriate authorities.

12.2.5 Notification of the Budget to the Library

When the budget is passed, the same is communicated to the library. This includes both plan and non-plan budget. The university authorities in consultation with the State Government approve plan budget wherever necessary (especially when matching grant is involved). After the budget notification, the university librarian informs the different academic departments regarding the budget allocations. These allocations, in fact, are funds in the names of different departments placed at the disposal of the university librarian. Money is spent by the librarian on items recommended by the heads of the departments. The library committee does the subject-wise allocations for books and periodicals. This is purely an internal arrangement of the library after the passing of the budget. If there are differences of opinion on allocations to different subjects, they are usually adjusted, erased and balanced by the library committee.

12.2.6 Budget Excess

Bill or library commitments which exceed the sanctioned budget, if any, for the library are usually adjusted in two ways, i.e., (i) by adjustment of the excess amount in next year’s budget and/ or (ii) by additional allocation subject to approval by the authorities. However, it has been observed in practice, that the second alternative is not only theoretical but also a doubtful and remote possibility. Budget excess adversely affects on the attitudes and awareness of the management towards the library.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with the answers given at the end of this Unit.

2) If there is excess in library spending beyond the budgeted allotment, state the methods of adjusting the excess.

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12.3 USE OF FUNDS, FINANCIAL CONTROL AND ACCOUNTING

Most of the practitioners are much concerned and are more serious about the phase of actual use of funds, accounting, auditing and financial control. This phase in itself involves allocation of funds as envisaged in the budget, encumbering funds under each head, fund accounting and financial audit. Let us briefly discuss some of these aspects in this section.

12.3.1 Allocation of Funds

Allocation of funds might have been based on past practices and performance, differential publication rate and inflation rate, level of demand, actual use and the total programme of the library or information centre. Actual allocation could be by departments/units, by subjects, by type of material, by users, by language or by format. Such an allocation of funds provides better control and more effective way to monitor funds and has best chance to achieve fair balance in development of programmes and services. However, a rigid allocation, particularly for collection development, may lead to difficulty in transferring fund from one account to another and consequently under spending may occur in some cases when the other heads starve for funds. In addition to such ineffectiveness, approval, blanket and standing order plans as well as development of reference, general and special collections may not fit into any heads. Further, matching the needs and monies available becomes complicated, time consuming and it may be difficult to develop models even after massive efforts. However, it may be noted that such formal allocation of funds may not be necessary in a small libraries.

12.3.2 Encumbering Funds

The most difficult task in budgetary control process in libraries and information centres is encumbering funds. Encumbering funds is a complex process that allows one to set aside monies to pay for ordered items. The process of encumbering funds is difficult and complicated for various reasons. Firstly, it is common that there will be other under spending and/ or overspending in some heads. Secondly, there are some uncertainties about supplies (delayed supplies and non-supplies). Libraries make several orders for documents under many heads in a given financial year and supplies are received continuously at no fixed intervals. Generally there is no automatic cancellation of non-supplied or unbilled orders and hence no disencumbering done automatically. It is very common that prices, discounts and handling charges of documents as well as exchange rates for foreign currencies keep changing frequently causing variation in the value of funds encumbered. Lastly, moving 'monies' back and forth by encumbering and disencumbering in a manual system can lead to errors.

12.3.3 Financial Control

It is already stated earlier that budget is a tracking device to measure progress, highlight variations from the plan and show the need for corrective actions to put the operation back on track. Nobody has the luxury of working without financial restrictions. Nobody gets money without justifying its requirements. Above all, one should be prepared to face both sudden windfalls as well as severe cuts in budgets. Budgetary control system is an example of a system (particularly,

the monetary and evaluation techniques of systems analysis) as well as a widely recognised control function of the management.

Budgetary control is one of the oldest and transitional control techniques used by managers. Budgetary control is the process of comparing what was planned with what has been accomplished during the budget period. It is not a past-oriented or post-action control but a future-oriented control system. It is not a post-mortem type assessment but a continuous examination of the progress made and comparing it with the cost standards and time lapsed so that the manager is able to make adjustments in operation on a day-to-day, week-to-week, or month-to-month basis for rest of the period of the budget.

As budget is only a futuristic plan, how far the actual operations of the library or information centre have, conformed to the budgeted programme will be known only after completion of the budget period (i.e., financial year). Knowing post-facto how much deviation or under spending or ineffective utilisation of resources has taken place is like discussing the ways of avoiding accident after the accident has occurred. Hence, continuously monitoring the operations to examine how the operations are carried out, whether there are any deviations, the causes for deviations and ways to rectify deviations within a week or a month will be of immense help. Though budget is prepared once in a year, the budgetary control process is a day-to-day, week-to-week, fortnight-to-fofortnight, month-to-month and quarterly-to-quarterly activity for a check of all revenues and expenditures budgeted and stated before hand.

The three basic steps in the control process are: establishing standards, comparing results with standards and taking corrective action. Preparation of budget is nothing but establishing cost standard. This process begins with top management setting goals and objectives and the lower level managers developing budgets for their units and the same successively reviewed and integrated at each higher level. Unlike profit-oriented organisations where budget for marketing expenses can influence the amount of revenue, the service-oriented and not-for-profit organisations should have different kind of simple matching of revenues and expenses.

Statements relating to commitments and actual expenditure should be regularly checked and continuously reviewed to control the budget. In the actual practice of budgetary control system, operating statements have to be prepared for each of the budget centres (or heads or items) involved. These statements should form part of the management information system (MIS) used to control the performance of library or information centre against the budget plan. A good budgetary control system should follow the theory of 'management by exception' and focus its attention on matters that are adverse or that show an unusual variance in addition to providing full details of budget statements.

In practice, it may be suffice to have monthly reporting in the beginning of financial year and changing the periodicity to fortnightly during later part of the year. However, the unit heads my have data on daily or weekly basis throughout the year to facilitate operational control and the same need not be sent to head of the library or information centre. Appendix 1 exhibits a simple proforma operating statement for budgetary control.

- Note:** i) Write your answer in the space given below.
ii) Check your answer with the answers given at the end of this Unit.
3) Why do we need a budgetary control system?

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12.3.4 Fund Accounting

Accounting means a systematic maintenance of the income and expenditure flow on records. A properly conducted accounting system is a basic prerequisite of efficient financial administration. Its main purpose is to ensure that the library funds are spent correctly, properly and within limits. It also helps in planning the future budgets and for making special studies. In other words, the purpose of fund or financial accounting for not-for-profit organisation is to assure proper use of monies provided and to make it possible to track expenditure.

The major part of the fund in a library is operating fund. For fund accounting purpose operating fund can be divided into restricted fund and unrestricted fund. Unrestricted fund allows flexibility in use for purposes other than that specified where as restricted fund cannot be used for other purposes.

The cardinal principle of fund accounting is that every financial transaction is charged to some account and a record consists of what the transaction involved. Fund accounting system allows verification of all the transactions and provide accurate report. Proper fund accounting by allowing one to know how much money is spent, how much is left and how is encumbered or committed aids budgetary control process and enables continuous checking and reviewing of the situation and examination of the need for reallocation or reappropriation of funds. It makes clear to the spender how much amount s/he has spent and how much is left, so that there is neither under-spending nor over-spending. It helps the administration to remain alert against misappropriations and maladjustments. Before setting up a book keeping system, the librarian should result the finance section to determine the procedure of accounting so as to serve best their mutual purposes.

12.3.5 Financial Records

All institutions that want to survive must meet certain standards of business organisations and the library is no exception to the general rule. Its financial records, like its budget should be set up in accordance with the main accounting procedures of the parent office. It is no longer considered a good practice to maintain a separate library account, handled directly by the librarian. In most institutions, all library payments are made through a central office. The finance section of the organisation maintains the library account while the library

maintains the records of detailed accounts including outstanding orders, bills forwarded, etc.

As stated earlier, the main purpose of library accounting is to keep expenditures within the budget. In addition, accounting helps in the preparation of the annual report and budget, provide the factual monetary basis for making decisions, assist the departments in making a wise and systematic use of fund and provide information for library reports, studies and surveys.

Most of the libraries keep their financial records according to a single-entry system. Though certain amount of diversity is found in the maintenance of financial records in different libraries, one main point to be kept in mind is that these records should be the simplest possible, consistent with efficiency and should permit rapid and convenient checking against office ledgers. Some of the records libraries normally maintain are explained below.

- a) **Cash Book:** The cash book is a record in which details of daily cash transactions regarding income and expenditure of an institution are entered. But in many libraries, the librarian does not maintain a cashbook, because the financial transactions generally take place through the accounts/administrative office, and not directly through the librarian. However, the libraries which take some amount towards contingency expenditure do maintain a record in the form of cashbook. The specimen of cashbook of a library is as under.

Receipts					Expenditure				
Date	Particulars	No. & Date of voucher	Head of account to be credited	Amount Rs. Ps.	Date	Particulars	No. & Date of voucher	Head of account to be credited	Amount Rs. Ps.
Total					Total				

- b) **Ledger:** A ledger is a book in which the budget provision or income is given at the top and expenditure on all items and subjects is entered one after the other. The specimen of a ledger is as under:

Name of the library : Year:
 Budget provision : Rs. Head:

S.No.	Name of vendor	Bill No. & Date	Amount	Amount passed for payment	Progressive total	No. of Books	Subject	Signature of librarian
1	2	3	4	5	6	7	8	9

- c) **Allocation Register or Allotment Registers:** In allocation register expenditure head-wise and subject-wise accounts are maintained. Separate financial records are maintained in the library for books, periodicals, binding, stationery, contingency, postage, etc. under approved budget heads. It helps us in knowing, at any point of time, how much money under what head and on which subject is spent or committed/ encumbered and how much balance remains to be spent. Technically speaking, though ledger and allocation register are two different records, their purposes are the same. The specimen of an allocation register is as under:

Name of library: _____ Year: _____
 Head of demand: _____ Provision of amount allotted: Rs. _____

S.No	Name of vendor	Bill No. & date	Amount	Amount passed	Progressive total	Bal- ance	No. of books	Sub- ject	Sign of in charge	Sign of librarian
1	2	3	4	5	6	7	8	9	10	11

- d) **General invoice register or bill register**

The specimen of bill register is as under.

Name of library: _____ Year: _____

S.No	Bill No. & Date	Name of firm	Amount	Sign of librarian	Sign of bill receiver	Remarks
1	2	3	4	5	6	7

In this register the serial number given in column one are termed as the voucher number of this bill. The office copy of each bill is arranged in serial number in separate file after the same has been processed and paid for. This arrangement helps the library staff in finding out any information regarding any item at any time as the voucher number of the bill links it to all registers in library sections and relevant records.

- e) **Monthly Expenditure Statement:** This statement helps the operator of each head of expenditure to know the latest position of the grant at the end of every month. A specimen of the monthly expenditure statement is as under:

Name of library: _____ Year: _____

Allocation: Rs. _____

Month	Expenditure	Cumulative expenditure	Balance	Sign	Remarks
April					
May	etc.				

- f) **Salary Bill Register:** The salary bill register of the library staff is a detailed document of the salaries during a particularly year. It contains information relating to salary and deductions of library staff. In this register all the entries are made by the accounts section except the leave record of the library staff, which is filled in by the librarian.
- g) **Record of Petty Cash:** In general, petty cash accounts are handled in two ways: (i) Turning fine and replacement monies into petty cash directly, (ii) Fine and replacement monies are collected directly by the accounts office and this amount is made available to the library in the form of petty cash. In some cases, separate amount is drawn and used as petty cash and fine being a revenue cannot be used by the library.
- h) **Equipment Record or History Card:** Another useful record for the library is a card file of major equipment. This should be made in duplicate, one copy to be kept in the main administrative office and the other in the library’s files. It should indicate the name of the item, the date of purchase, the cost, and such information as serial numbers (e.g. PCs). This record facilitates equipment purchasing and replacement, makes possible a more considered judgment in placing replacement orders or in deciding repair versus replacement, and also provides an accurate inventory for insurance and other purposes. Many problems of legacy accounting system are solved in automated accounting system.

Self Check Exercise

- Note:** i) Write your answers in the space given below.
 ii) Check your answers with the answers given at the end of this Unit.

4) State the reasons for keeping financial records.

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5) Give the headings of an invoice register.

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12.3.6 Financial Audit

Lastly, financial audit part of the process enables meticulous but sample scrutiny of financial transactions to have proper control over irregular, inappropriate and wasteful expenditures. Auditing is a scrutiny of the financial transactions of government and semi government bodies. It is deemed necessary from the authority's point of view for their satisfaction.

Libraries and information centres normally have post-audit by external/central/statutory auditors, who usually look into loss of reading materials, irregularities in procurement processes and outstanding advance payments and supplies. Even though two types of audit *systems* are prevalent in their country, government departments and libraries generally follow post-audit. Post-audit means that the drawing and disbursing officer prepares the bills, signs them and sends them to the treasury/ bank/ principal for payment. The drawing and disbursing officer is responsible for the correctness of the bills. The officer or the librarian must satisfy herself/himself fully before signing the bill. In post-audit system, only random audit is resorted to, after the financial year comes to a close. Every item is not checked, but some months are selected at random. Payment items occurring during these selected months are thoroughly and minutely verified. Mistakes, if any, are pointed out. The person concerned is advised and warned to be cautious in future.

Pre-audit system is generally followed in autonomous bodies in which the audit is under local fund account. In case of pre-audit, no item can be passed for payment unless it has been first audited. Pre-audit system reduces the responsibility of the drawing/dischursing officer in the sense that all the necessary verifications such as checking of items, accessioning of items, charging of approved rates, correctness of calculations, debiting to proper head of account, etc. have already been done by the audit section in advance. Here instead of the drawing officer, the auditors satisfy themselves before the bills are passed for payment. Auditing is carried out both by internal audit team as well as external/statutory audit team. The problem of correcting and noting for future do not arise in pre-audit procedures. This simplifies matters somewhat and reduces the auditing responsibility of the librarian.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with the answers given at the end of this Unit.

6) State why auditing is necessary in libraries?

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12.4 SUMMARY

This Unit has explained how to prepare budget with typical contents of a budget document and few helpful guidelines for preparing budgets. The contents of the budget document, principles of budget making, justification for expenditure, getting approval for the budget and handling budget excesses and other usual budget formalities are also explained in this Unit.

Issues relating to allocation of funds, encumbering of funds and fund accounting as a preparation to proper use of funds and control of budget are discussed. While budget is a financial statement which provides details of the proposed revenues and their utilisation for expenditure for a specific period, the budgetary control is the process of comparing what was 'planned with what has been accomplished during the period. Libraries and information centres have certain peculiarities as service-oriented and not-for-profit organisations and hence implementation of budgeting and budgetary control system in such institutions is more difficult than in profit-oriented organisations. Budget and budgetary control system have many merits like use of Rupee as a common denominator, dealing directly with efficiency of the organisation, stimulating good management practices, detecting deviations, suggesting corrective actions, facilitating centralized control and availing collective wisdom of people involved.

The final aspect of financial management is that of keeping accurate records of money spent, and remaining balance. There are standard procedures and rules for maintaining different types of records of expenditure, which are described with examples. Library expenditure is subject to audit to ensure that the expenditure has been according to norms, rules and procedures.

12.5 ANSWERS TO SELF CHECK EXERCISES

- 1) The contents of a budget document, besides the title page and contents, includes the following: budget at a glance; goals and objectives of the library in brief; activities and accomplishments of the previous year; activities and proposed targets of the budgeted year; detailed statement of expenditure estimated for the budgeted year along with the past year, on all the activities or items of expenditure.
- 2) Excess expenditure beyond the estimated expenditure is adjusted in the following ways:
 - i) The excess amount is shifted to the next year's budget, subject to the approval of the financial and administrative authorities
 - ii) Making a special request for funds for the extra expenditure, subject to the approval of the financial and administrative authorities.
- 3) Budget is a futuristic plan. Actual performance may or may not conform to the budget due to various reasons. Instead of knowing whether actual performance varied from the budgeted target after the budget period, it is better to periodically monitor and know the deviations from the set budget so that wherever possible necessary adjustments can be effected during the subsequent periods to make actual performance to become close to budgeted targets. It is exactly for this purpose a budgetary control system is needed.

- 4) Financial records are necessary as they serve the following purposes:
 - i) Help in the preparation of the annual report and the budget of the following year,
 - ii) Provide factual monetary basis for making decisions on books, periodicals and other expenditures;
 - iii) Assist the departments, in case of universities, in making a wise and systematic use of their book fund allotment;
 - iv) Provide information for annual reports, studies and surveys.
- 5) Generally invoice register has the following headings; Serial Number; Bill Number and date; Name of Firm; Amount; Signature of the Librarian; Signature of bill receiver; Remarks.
- 6) Audit is necessary in libraries to check whether the allotted budgetary funds are spent according to financial procedures, rules and norms. It seeks to control irregular, inappropriate and wasteful expenditure. Every administrative and financial authority consults audit reports in order to satisfy themselves that the allocated funds have been spent properly and lawfully invariably.

12.6 KEYWORDS

Accounting : A systematic maintenance of income and expenditure flow on records. It is a systematic process of identifying, recording, measuring, classifying, verifying, summarising, interpreting and communicating financial information. Accounting provides information on the (i) resources available to a firm, (ii) the means employed to finance those resources, and (iii) the results achieved through their use

Audit in relation to Accounting : Systematic examination and verification of a firm's books of account, transaction records, other relevant documents, and physical inspection of inventory by qualified accountants (called auditors).

Auditing : Official examination of accounts and scrutiny of financial transactions of a government or non-government body/institution.

Budget : A financial and/or quantitative statement prepared and approved prior to a defined period of time of the policy to be pursued during that period for the purpose of attaining a given objective.

Budget Centre

: A section of the organisation or the undertaking defined for the purpose of budgetary control.

Cost Centre

: A location, person or item of equipment, or a group of these connected with an undertaking in relation to which costs may be ascertained and used for the purposes of cost control or product costing.

Cost-Analysis (Analysis of Cost Behaviour)

: Knowledge of the reaction of individual costs (i.e., fixed, variable and semi-variable costs) and expenses to changes in the volume of activity. Cost analysis helps (i) planning the amount of costs to be incurred in future periods (ii) estimating profits from future activities; and (iii) determining whether costs have been adequately controlled by those responsible for their incurrence.

Financial Estimation

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

Financial Forecasting

: It is a forecast of the expected financial position and the results of operations and cash flows based on expected conditions. It involves a systematic projection of expected actions of management in terms of financial statements, budgets, etc. using past records, funds flow behaviours, financial ratios and expected economic conditions in the industry and the firm.

Financial Records

: Documents which keep track of library expenditure i.e., cash book, ledger, salary bill register, allocation register, etc.

Flexible Budget

: A budget that recognises the difference in behaviour pattern of fixed and variable costs and which is designed to change in relation to the level of activity actually attained.

Library Expenditure

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

Non-plan Grants

: Regular budgeted grants given every year.

- Non-recurring Expenditure** : Expenditure that do not repeat every year (e.g. building, equipment, machinery, etc.).
- Operating Statement** : A summary of the operating costs (and, where appropriate, of the revenues and profit margins) of the whole or part of the activities of an enterprise for a given period.
- Plan Grants** : Funds made available on projects that go under annual plans, five-year plans, etc.
- Profit Centre** : A form of responsibility centre in which a manger is held responsible for both revenues and costs, and hence for the resultant level of profit.
- Prospective Pricing** : Setting price prior to the performance of the service is called prospective pricing.
- Recurring Expenditure** : Expenditure that repeats every year e.g. books, journals, staff salaries, etc.
- Responsibility Centre** : A personalised group of cost centres under the control of a 'responsible' individual.
- Restricted Funds** : Restricted funds do not allow flexibility in use of funds. Like grants for specific purposes, restricted funds cannot be used for purposes other than that specified. Grants or donations that require that the funds be used in a specific way or for a specific purpose. They can be considered a contract between the donating party and the receiving party. Restricted funds are often associated with non-profit organisations, since a donation might be made to the organisation for a specific use only. If the funds are used for something other than what was stipulated, the organization could be required to pay the funds back. For example, a restricted funds gift to a university could indicate that the funds only be used for scholarships in a specific department.
- Single Entry** : Entries showing only expenditure.
- Single Entry Bookkeeping** : An accounting method in which transactions are recorded as a single entry, rather than as both a debit and a credit as in double-entry bookkeeping.

Unit Cost

: Expenditure incurred in producing one unit of a good or service, computed usually as average cost. Cost of a single unit of operation, e.g. cost of cataloguing a single book.

Unrestricted Funds

: Unrestricted funds allow flexibility in use of funds and reallocation of funds from one head to another.

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BLOCK 4 HUMAN RESOURCE MANAGEMENT

Introduction

This Block, dealing with one of the most important resources of any enterprise, namely human resources or human capital, gives you the content in three parts: Human Resource Management (HRM), Human Resource Planning (HRP) and Human Resource Development (HRD). As such this Block is predominantly concerned with one of the managerial functions discussed in Unit 1, namely 'staffing' function. It is also hither too referred to as 'personnel management'.

Unit 13 discusses the basic principles and practices of HRM to provide a general framework with explanation about what is HRM, why we need HRM and how to implement HRM in a typical organisation. Human capital of an organisation transforms all the other resources into tangible products and services and ensures quality to an organisation's products and services, establishing proper procedures for performance efficiency. You may recall that in traditional depiction of library as a trinity of documents, users and staff, it is the staff component that links documents and users to make library service a reality. The HRM functions and activities are achieved through strategic and operational planning consisting of a series of principles and procedures such as professionalism, participative management, performance appraisal of employees at different levels, etc. Systematic and proper planning, development and strengthening of manpower of libraries to meet various changes that are taking place need no over-emphasis.

Unit 14 discusses HRP as an integral part of HRM. HRP is the process of systematically reviewing human resource requirements to ensure that the required number of employees with the required skills is available when they are needed. Human resources are required to be distributed in appropriate measures at different levels of the organisation and the same is illustrated with some notional figures. Various elements of HRP like estimation of the quantity and quality of manpower required, selection and recruitment, induction and deployment, performance appraisal of employees with appropriate yardsticks, development of knowledge and skill including communication skills are discussed in detail.

Human resources are planned, selected and recruited to match the requirements of different tasks of the organisation so as to achieve the goals and objectives of the organisation. The assessment of human resource requirement is carried out through what are called job analysis, job description/ specification of each task and position. The recruitment is an elaborate process and involves selection, placement and induction/ orientation. Having placed suitable human resources at appropriate levels, the significance of regular training, development, performance appraisal, counseling as well as nurturing appropriate communication skills assumes equal importance.

Lastly, the methods, tools, and techniques of HRP are discussed, in this Unit, in relation to the changing context of Indian libraries and information institutions with an overview of the scenario to indicate the type of manpower required in the country in the future.

Unit 15 focuses on various aspects of HRD. Human relations assume double importance in librarianship as library is a non-profit, service-oriented organisation having sensitive user component. Human relations approaches laid greater

emphasis on the work group and need for better communication between supervisors and workers. Among the best representations of human relations and motivation are those of Maslow's hierarchy of needs, Mc Gregor's Theory X and Theory Y as well as Hawthorne studies of Elton Mayo and his co-researchers.

Elton Mayo, the father of the human relations movement, along with his co-researchers F.J. Roethlisberger and William J Dickson believed that organisations always involve interrelationships among members and that it is the manager's role to see that relationships are as conflict free as possible, in order to accomplish the organisation's objectives and conducted a series of studies at the Hawthorne, Illinois plant of Chicago Western Electric Company, which became famous Hawthorne studies.

Managers committed to Theory X assume that people are lazy, dislike work, want no responsibility and prefer to be closely supervised/directed coupled with job security. On the other hand, Theory Y managers assume that people do not inherently dislike work, seek responsibility, like to work, are committed to doing good work if rewards are received for achievement and will exercise self-direction and control in their tasks if they are committed to their accomplishment.

Several types of competencies and capabilities have to be built up to deal with professional services of high quality expected or required for future libraries and information institutions. These include intellectual and human capital developed with various processes of learning based on HRD strategic planning and operation. Learning is a continuous process and it includes self learning through Internet, World Wide Web and Intranet within the organisation. Intellectual, technical and other skills as well as human elements of the organisation like leadership qualities, motivation, and communication are important in handling a variety of psychological and behavioural patterns. For the purpose of management of team work, Participative Management and Total Quality Management are necessary. In order to develop a strong and healthy staff that would be fit enough to absorb and assimilate all the HRD processes of learning, training, human elements and career development, it is also essential to have health and safety aspects of staff in organisations. The credibility and public image of the profession would be at stake, if these aspects are overlooked. All these aspects of HRD are considered and discussed in relation to the future of libraries and information institutions.

UNIT 13 BASICS OF HUMAN RESOURCE MANAGEMENT

Structure

- 13.0 Objectives
- 13.1 Introduction
- 13.2 What is Human Resource Management?
 - 13.2.1 Human Resources
 - 13.2.2 Human Resource Management
- 13.3 Why Human Resource Management?
 - 13.3.1 Need for HRM
 - 13.3.2 Purpose of HRM
- 13.4 How of Human Resource Management?
 - 13.4.1 Strategic Planning
 - 13.4.2 Operational Planning
 - 13.4.3 Performance Measurement
 - 13.4.4 Human Resource Management Process
- 13.5 HRM and Indian Libraries and Information Centers
- 13.6 Summary
- 13.7 Answers to Self Check Exercises
- 13.8 Keywords
- 13.9 References and Further Reading

13.0 OBJECTIVES

After reading this Unit, you will be able to:

- comprehend what constitutes human resources in any organisation;
- explain the vital importance of human resources in the management of any organisation;
- identify the need and purpose of Human Resource Management (HRM) in any organisation;
- describe the ways and means, methods and practices of HRM; and
- discuss the value and advantage of HRM in relation to Indian libraries and information centres.

13.1 INTRODUCTION

In this Unit, we shall study human resources as an invaluable primary resource in the management of any organisation. Human resource comprises of all the persons working in an organisation at all levels. They are the manpower force of the organisation that has the knowledge and skill to transform all its other resources into tangible products and services.

The need and purpose of Human Resource Management (HRM) are to achieve high quality in whatever they produce or offer as services that would strengthen its growth and development.

In this Unit, we shall study what is HRM, why is it given a central place in the management of an organisation, with a special focus on its growth and potential.

The means and methods in implementing HRM in any organisation are through strategic planning and operations, managing human resources, measurement of performance of the manpower resources, regularising a systematic management process.

It should be noted that HRM includes Human Resource Planning (HRP) as well as Human Resource Development (HRD). In this Unit, we are dealing with all aspects of HRM and therefore some aspects HRP and HRD are also touched upon at appropriate places. However units 14 and 15 respectively deal exclusively with HRP and HRD in detail.

We shall also study how much of the concepts of HRM are relevant in the current management context of Indian libraries and information centers. It may appear to be incongruent to discuss HRM in the Indian present state of libraries and information centres in India. However in the changing Indian scenario, particularly, with the significant role given to Indian libraries and information centres by the Indian Knowledge Commission in the development of Indian society into a knowledge society, the study of HRM will be pertinent and also be useful.

13.2 WHAT IS HUMAN RESOURCE MANAGEMENT?

Management of an organisation is defined as the prudent, judicious and optimal utilisation of resources like material, machinery, money, manpower and other resources in any activity like in industry, business, trade, academic, social or any other. Manpower here refers to the human resources that comprise of all the workers in an organisation at all levels of the organisation. We will study now about human resources in some more details.

13.2.1 Human Resources

Human resources comprise the entire employees of an organisation from top to bottom. Usually in any organisation, persons or employees work at three different levels namely; top, middle and lower.

The top level class of persons are the highly qualified and professional experts who have a clear short and range vision of the organisation, set the goals and objectives of the organisation, formulate policies and programme, provide the structural pattern for the operation of the various functions of the organisation, set standards of performance of employees, design plans for the growth and development of the organisation, and involve themselves also in various other managerial functions for the smooth running of the organisation.

The middle level class of persons operate at the structural departments/divisions of the organisation, involve in the operational functions of their respective departments or divisions, implementing the plan targets, control and supervise the work of the their colleagues at that level and lower level and do similar other tasks.

The third level staff are mostly sectional heads who supervise the performance of those working under them in actual operations and contribute to the completion of the various tasks in specific time set. The other lower levels staff who have various vocational skills function and operate at the production levels.

It can be seen that the entire work of the organisation is a team work and at every level, work should have a quality appropriate to that level. The total manpower strength builds up the organisation and produce targeted results.

It is this total manpower force that has the potential to transform all other resources into tangible products and services, irrespective of their position, salary and status. Any inadequacy at any level will hamper the progress of the organisation and would contribute to its downward pull.

As this force is a live one, it has the capacity to upgrade itself by acquiring new knowledge and skills and keep rising in its performance. The dynamism and forward looking attitude will enable growth and development of the organisation.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with the answers given at the end of this Unit.

1) What comprises human resources?

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13.2.2 Human Resource Management

“Human Resource Management is a strategic and coherent approach to the management of an organisation’s most valued asset; the people working there who individually and collectively contribute to the achievement of its objectives” (Armstrong, 2003).

The important points to note in this definition are:

- i) strategic and coherent approach,
- ii) human resources are the most valued assets
- iii) people working in organisations individually and collectively to achieve the goals and objectives of the organisations.

It is evident from these points of the definition of HRM that the top management in any organisation must give the highest priority and attention to human resources with a clear-cut management policy for its growth and development. Such management policy should necessarily focus on the following points:

- The acquisition of knowledge and skills by every individual and group of the manpower force, thus building up abilities and capabilities to perform various tasks associated with the present and expected future tasks;

- Developing the inner potential of the individuals and groups and exploit them for their own advantages and to the strength of the organisation;
- Building up an organisational work culture in which team work at every level and maintain a discipline in the upward and downward communication flow, aiding professional welfare and the reputation of the organisation;
- Providing built-in facilities for upgrading of knowledge and skills of every employee through appropriate mechanisms and instruments; and
- Improving abilities and competencies by the introduction of strategic and operational planning for practical execution.

Self Check Exercise

Note: i) Write your answers in the space given below.

ii) Check your answers with the answers given at the end of this Unit.

2) Define Human Resource Management.

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3) State the three points that emerge from the definition of HRM.

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13.3 WHY HUMAN RESOURCE MANAGEMENT?

Having a clear idea of what is HRM, we must know the management approach. What purpose does it serve? What is the need for it? Why is special attention given to manpower resource as against the other resources of the organisation?

13.3.1 Need for HRM

Among the other resources of an organisation, the human resources are the only:

- organic living force, capable of acquiring new knowledge and skills, re-charge themselves according to environmental requirements, prone to flexibility and grow endlessly;
- force that can transform all the other resources into tangible products and services, as other resources will remain idle and unused otherwise;

- resource that has the knowledge and skills, abilities and capabilities, competence and control to build up the organisation, develop its future growth, development, goodwill and reputation; and
- resources that can bring about an organisational culture, do the strategic planning and operations and introduce any new technology, etc.

13.3.2 Purpose of HRM

The very reason for investing in human resources is to increase the knowledge and skills of people so that the above HRM needs are met. Below are given some of the other purposes of HRM. HRM is for:

- the survival and stability of the organisation;
- the change and diversify of the business;
- running the activities more effectively;
- providing highest quality in products and services;
- playing a leadership role in the field; and
- combat effectively competition in the market.

In a nutshell, the necessity for HRM is not only for the employees' competence, capabilities and abilities to be upgraded but for their motivation, dedicated participation, involvement and commitment also have to be simultaneously enhanced to achieve the organisational goals and objectives and to build up its future.

Self Check Exercise

- Note:** i) Write your answer in the space give below.
 ii) Check your answer with the answers given at the end of this Unit.
 4) Explain briefly the need and purpose of HRM.

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13.4 HOW OF HUMAN RESOURCE MANAGEMENT?

We have noted earlier that the definition of HRM accentuates on human resources as a most valued asset i.e. people working in an organisation individually and collectively contribute to achieve its goals and objectives. In other words, the definition emphasises an approach philosophy to HRM.

This philosophical approach suggests that human resources have to be carefully nurtured, continuously developed and constantly reviewed in consonance with the aim of the organisation for its growth and development. No organisation can

ever remain static when the environment keeps on changing. For instance, an organisation in business and industry will have to diversify its products to compete in an expanding market in modern days, a global market and will have to be ready to adapt itself in many ways to the changing environment. An academic institution should adapt itself to new requirements such as changing syllabus and curriculum in a discipline, initiating new courses, apply methods of e-teaching and learning technology, bring out appropriate fresh course material, etc. If the human resources of these organisations remain static, their survival is likely to be in jeopardy. Therefore, the fundamental thinking in this approach philosophy, based on the continuously changing situations is to view:

- The need to invest time, money and effort in the human resources of the organisation regarding it as the most important primary resource. It is not a cost-based approach i.e. hiring persons just like spending money on other resources. This investment is vital for the growth and development of the organisation even for its survival.
- Human resources have special characteristics that call for special treatment. Human beings have volition and free will; no human being is alike. Individually and collectively their behavioural characteristics are likely to vary. An organisation has to take cognizance of this human factor in formulating its HR policies.
- Human resources handling has to focus on employees collectively as human units and not merely as individual employee, just hiring and firing.
- An organisation's strength invariably relies entirely on human resources, as these are the most potent resources which can foresee future, have a long range perspective and acquire new knowledge and skills, rise to any level when the need arises.

It is obvious from the above that HRM of an organisation has to be planned to meet its changing environments. It should have a positive and clear-cut policy goals and objectives and operational planning. Naturally there must be appropriate means, mechanisms and instruments to upgrade the quality, abilities, capacities and competences of persons working at every level in order to achieve its expected targets.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with the answers given at the end of this Unit.

5) What is the fundamental thinking on HRM Philosophy?

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13.4.1 Strategic Planning

Strategic (skillful) planning is the function of the top management in which an expert in HRM is represented. Setting up goals and objectives, evolving pragmatic plans and formulating policies, preparing executive action for plans and programme, establishing appropriate procedures, rules and regulations for implementation at all levels of management are some of the more important duties and responsibilities of the top management, with reference to HRM. In order to implement these activities, a basic set of principles and practices have to be adopted to ensure quality for all these functions relating to the management of human resources at all levels. They may include:

- professionalism;
- personal/group involvement in work in achieving targets;
- formalism;
- up gradation and enhancement of knowledge and skills;
- increasing application of Information and Communication Technologies;
- evolution of a corporate culture;
- continued effort to progress and develop.

Professionalism: This means a quality performance befitting a professional. A person with professional education with rigorous practical training would perform at a high level quality which cannot be expected from a non-professional. The organisation that aims at high quality work from its employees would endeavor to introduce the highest quality of performance of a professional from every employee, irrespective of the persons' background and experience. This would be the norm of performance of the organisation.

Up Gradation and Enhancement of Knowledge and Skills: No matter what qualification or experience an employee holds, unless the person is involved in work, with a sense of devotion, dedication and commitment, an organisation cannot turn out a quality of work of the highest standard. It is therefore that the organisation should have a policy of motivating its employees, through a series of programme that would make the employees commit to work. Once the employee is motivated, the person would willingly upgrade her/his knowledge and skills.

Formalism: An organisation introduces formal hierarchical structure to its functions and operations through departments, divisions, sections and other lower units. This formal structure is necessary for proper execution of the various activities of the organisation. In order to maintain this structure, a set of principles with reference to downward and upward communication is also essential. Henry S Fayol's general principles of organisation are usually a part of the regulations, like authority and responsibility must go together, unity of command and direction, division of work, *esprit de corps*, subordination of individual interest to general interest, etc.

Increasing Application of Information and Communication Technologies (ICT): Advances in ICT are offering unlimited opportunities to improve the functions and operations of any organisation in modern days. No organisation can afford to be indifferent in this respect.

Evolution of a Corporate Culture: A leading organisation develops its own work culture on the basis of its work principles and practice, conventions and customs, faith and philosophy, discipline, and such others, to identify it from other organisations. This gives employees a sense of belongingness to the organisation and prompts them to give the organisation their best.

Continued Effort to Progress and Develop: As mentioned earlier in this Unit, every organisation has to grow and develop to be competent in their business and survive.

This approach would encourage organisations to plan their future human resource pattern, taking into account environmental changes, introduction of new products and services, application of advancing ICT. Exercised properly and on a continuing basis, it should eliminate problems of oversupply or undersupply of particular skills within an organisation. It aids the determination of training needs in relation to new skills required.

Examples of organisations and institutions that have made a name in their fields are many adopting some of these approaches. In India Tata's products are high class brand name; Infosys in Software, IITs, IIMs, TIFR, IISC, are other examples in professional and academic/research institutions; products of Harvard University, Stanford University in USA are well known. These types of institutions have outstanding brand names.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with the answers given at the end of this Unit.

6) What are the basic sets of principles to be adopted for maintaining quality in HRM?

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13.4.2 Operational Planning

Operational planning would take care to implement and execute the activities and programme to achieve the targets set by the goals and objectives of an organisation. Further, it handles personnel recruitment, selection, placement and deployment and skill development of personnel, through various types of training. The distribution of personnel to the different departments, divisions, sections and units is done through task and job analysis, job description, job specification, competencies, etc. The implication of this exercise is that the right person should fit into the right job that would not only ensure work efficiency and quality but also give the concerned person job satisfaction.

13.4.3 Performance Measurement

Success of the activities of an organisation can be expected to give right results depending on the performance of the manpower force functioning. The performance of the staff has to be regularly measured by using appropriate yardsticks and scales. This process of evaluation of staff performance will provide data such as under performance, shortfalls, deficiencies or excellence. Corrective steps can be then taken to design and develop specific programme and instruments to set things right and get maximum productivity through optimum efficiency of the manpower force.

The HRM department or division could take appropriate action with reference to the following aspects:

- Performance appraisal: review feedback and counseling;
- Role analysis and potential development;
- Training policies;
- Communication policies;
- Job rotation; job enrichment programme;
- Participative and total quality management;
- Organisation development and culture;
- Awards, rewards and incentives.
- **Performance Appraisal**

It is the systematic evaluation of individual employees' job related strengths and weaknesses at all levels. In all types of organisations, employees have to be evaluated periodically on a regular basis or when decisions have to be taken about their annual increments or/and promotions.

Usually some workers take initiatives and can do an assignment with little or no supervision. Others may be unreliable or must be closely supervised to ensure successful completion of a project.

A systematic written performance appraisal system provides a sound method by distinguishing the quality among the employees. Performance yardsticks will be appropriately different in assessing the quality of work of employees at different levels.

The data obtained on performance will thereafter be reviewed, feedback taken to plan and implement the necessary corrective programmes to bring the employees performance to the optimum level. Some of the programmes for improving employees' performance quality are training, counseling, or coaching, depending upon the corrective treatment required.

Performance appraisal of officers of top management and senior personnel of middle management are also necessary. Their yardstick and scales will naturally be different from the appraisal yardstick of lower level employees. The aspects of performance may be with reference to their general vision perspectives, updating their professional knowledge and current trends in their fields, their relations with their employees and general public relations, communications skills in making presentations at strategic meetings, etc.

- **Role Analysis and Potential Development**

When faced with a situation, for example carrying out a job in handling a difficult customer, an employee has to enact a role to tackle the situation. Such a situation has to be tactfully handled within the prescribed rules and regulation of the organisation. A certain expectation is generally held when an employee is assigned a job like this. When the employee performs successfully and lives up to the expectations, the person performance rating goes up. Performance in a role is a product of the situation individuals are in the organisational context and the direction or influence exercised from above or elsewhere in the organisation and their own skills, competence, attitudes and personality.

Role analysis is thus concerned with optimum stress, linkages and autonomy. Optimum stress refers to tuning a person to raise her/his contribution to the optimum level. Linkages provide intra or inter relations between individuals and teams within units or outside. Autonomy permits an individual to display initiative in dealing with a new problem and finding a solution to it.

Senior managers of an organisation are also to face difficult situations and their ability and competence to deal with such situations are also important for the organisation.

- **Training Policies**

Most organisations have a regular policy of providing for appropriate training of their staff to cope up insufficiencies or deficiencies. Depending upon the nature of shortfalls, provision for in-house training, getting trained an employee from short courses by professional organisations, workshops conducted by institutions or international programs organised by Unesco or any other organisations. People trained in these programme should be suitably fitted in the organisation to get their full potential which would also give job satisfaction to the person trained. This is important to raise the morale of the employee.

Again senior level managers also are to keep themselves abreast of current trends in their respective fields of work. They may get opportunities to attend and contribute papers at international conferences, participate in e-conferences on important areas relevant to their parent organisation, etc. Above all the most essential requirement is to do self assessment to be in the best interests of the organisation.

- **Communication Policies**

We have already noted that formal communications in the organisation is required to maintain discipline and avoid conflicts among the employees. Besides these, communication policies contribute substantially to the health of the organisation. Through approved internal communication channels, the organisational activities can be authentically reported. This would prevent unnecessary faith in grapevine and gossip among the employees. The employees would also be properly informed about the activities and progress of the organisation. Most often, Newsletters, House Journals and News Bulletins of the organisation are brought out to keep the employees well

informed about its activities and progress. They can carry employees news, personal achievements and honors, etc. which would contribute to the general goodwill of the organisation.

- **Job Rotation, Job Enrichment Programs**

Judicious transfer of persons to pick up experience and new skills and expertise in different areas of work in different sections and divisions of an organisation would enhance quality of work of employees and a sense of personal satisfaction and motivate them to perform with greater involvement in work. Specific job enrichment programme may be designed to help employees widen their skills and competences.

- **Participative Management**

“Participative Management is defined both as a philosophy and a method of managing human resources in an environment in which employees are respected and their contributions valued and utilised. From a philosophical standpoint, participative management centers on the belief that people at all levels of an organisation can develop a genuine interest in the success and can do more than merely perform their designed duties.” Modern management techniques encourage the use of participative decision making stressing that productive and efficient results can come out of the decision making process. This management technique allows its employees, individuals or groups to take part in decision making.

There are pros and cons to this theory of management. However, there are various factors that are involved in implementing such a practice in organisations. We are just mentioning it here, but it will be discussed in detail in the Unit on Human Resource Development.

- **Award, Reward and Incentives**

This again is a general practice in organisation to reward best performances of employees. Awards of professional organisations for outstanding achievements are also important to encourage employees to maintain their quality. Apart from these types of recognitions, organisational incentives like deputing persons of outstanding performances to get international exposures in their respective areas of work are also sometimes serve as incentives. Even out-of-turn of promotions may also serve this purpose; but this type of incentives will have to be carefully done lest it may create unhealthy relations between employees which will not be in the best interests of the organisation.

All the above aspects would be influenced by factors like management style, environment, technology, resource availability, background and past history of the organisation, nature of business and others.

If properly attended and successfully implemented, this is likely to be reflected in the organisational effectiveness like higher productivity, growth and diversification, cost reduction, more profits and a better image of the organisation.

Self Check Exercise

- Note:** i) Write your answer in the space given below.
 ii) Check your answer with the answers given at the end of this Unit.
- 7) What are the appropriate actions that an HRM department/division should take to maintain optimum efficiency in production or services?

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13.4.4 Human Resource Management Process

We have discussed the basics of HRM in the different section of this Unit so far. A frame-work for operating the various functions of an organisation is indicated. In actual practice, HRM is a continuous process and not merely providing a framework for a set of planning and designing procedures, mechanisms, instruments and techniques, framing rules and regulations and evolve a set of standards for work quality, etc. These are basic ideas for establishing a system of management practices to get high quality work from employees. The organisation can facilitate the productive process of management by the conscious application of these ideas described in the previous sections.

Quality of work being central to any system of management, every work-related issue should be examined at periodical intervals and at every level, top, middle and lower that comprises managerial and operational aspects. Task analysis, quality of work life that includes work place, principles of democracy in the implementing processes, autonomous work groups like quality circles, participative decision making and quality assurance of products and services are some of the important and crucial aspects that would need great attention from top and middle managements.

Organisational culture that creates a conducive and healthy atmosphere contributes to high performances leading to success and growth of an organisation.

Organisational learning is a process that provides opportunities to obtain new skills through involvement and commitment that help employees at all levels to pick up valuable experience. This process adds value to every function of the organisation.

Discussions on strategic and operational planning, performance measurement, and participative management, are ideas to be taken in their integration and not in isolation.

While managerial responsibilities and operational functioning are divided between the top, middle and lower levels of the manpower forces in an organisation, it is the top management that ultimately should set high standards of performance among the lower level employees.

Self Check Exercise

- Note:** i) Write your answer in the space given below.
ii) Check your answer with the answers given at the end of this Unit.
- 8) What do you understand by HRM process?

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13.5 HRM AND INDIAN LIBRARIES AND INFORMATION CENTRES

Human Resource Management constituting basic ideas on management principles and practices of manpower resources in this Unit may appear irrelevant or impractical in the present context of Indian libraries and information centers.

Almost all Indian libraries in India are part of academic institutions like universities and colleges, libraries attached to Ministries, and Departments of the Government of India, IITs and IIMs, higher institutions of learning and research like Tata Institute of Fundamental Research, Mumbai, Indian Institute of Science, Bangalore, special libraries attached with research organisations such as CSIR, ICAR, ICMR, BARC, ISRO, Public Sector Undertakings, etc. Public libraries have developed in states where Public Libraries Acts are in operation. In other states they are part of cultural set-ups, functioning through government funding. As these institutions are parts of their parent bodies, they are governed by the policies and practices of their parent bodies. Even in larger libraries attached to universities and colleges, research complexes, and other institutions, public or private sector undertakings, these ideas of HRM are not operative. The administrative departments of these parent bodies deal with staff/personnel, mostly in relation to salary and allowances, discipline and control, training and deputations, performance appraisal through confidential reports and such others.

Some of the modern management concepts like HRM may be operative in a limited way for personnel development in some institutions, mostly at the top management level, never percolating to lower levels. No HRM developments seem to exist exclusively in most institutions to take care of personnel issues as discussed in this Unit.

However, the relevance of HRM concepts, principles and practices discussed in this Unit is with reference to future possibilities, apart from its beneficial and useful exposure this Unit provides to you. Libraries and information services at the national level, universities and colleges, big research complexes, private and public sector undertakings, media, etc. are growing not only in their collection size, sophistication with the application of computer and communication, digital technologies, a new set of manpower is likely to be operating in LIUs in the decades to come. The National Knowledge Commission of the Government of India initiated in 2005 has given a significant role to future libraries in India.

Besides, knowledge management courses are being offered in professional management education and training institutions, turning out a new kind of knowledge management professionals, probably mostly to function in industrial settings. All these developments will definitely have a far reaching influence and effect on the growth and development library and information services in India.

Human resource management problems, not necessarily to deal with large number of employees but some other aspects like designing appropriate training programme, performance appraisal instruments, career prospects at all levels, development of organisational culture, etc. that are discussed in this Unit may surely be applicable to the changing situations of Indian library and Information services. This exposure will be valuable to deal with such situations of the future.

Self Check Exercise

- Note:** i) Write your answer in the space given below.
- ii) Check your answer with the answers given at the end of this Unit.
- 9) How far HRM principles and practices relevant to situations obtaining in Indian library and information centres?

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13.6 SUMMARY

In this Unit, we have discussed the basics of Human Resource Management (HRM), providing a framework of HRM principles and practices. Explaining what HRM is, we move on to discuss the need for HRM and how to implement HRM in a typical organisation. Human resources are the manpower forces of an organisation that transform all the other resources into tangible products and services. The need for HRM arises because it is only the manpower forces that have the potential to ensure quality to an organisation’s products and services, establishing proper procedures for performance efficiency. These functions and activities are achieved through strategic and operational planning. Strategic and operational planning involves a series of principles and procedures such as professionalism, participative management, performance appraisal of employees at different levels, etc. It is important to build up the manpower force through proper planning and later strengthen this force by employing development of manpower for meeting various changes that might take place in an organisation. Are these principles and practices really relevant in the present context of Indian libraries and information centres (LIC)? This question is examined in the changing context of LICs which may have a strategic role to play as indicated by the National Knowledge Commission.

13.7 ANSWERS TO SELF CHECK EXERCISES

- 1) Human resources comprise the entire employees of an organisation from top to bottom. Usually in any organisation, persons or employees work at three different levels namely; top, middle and lower levels.
- 2) “Human Resource Management is a strategic and coherent approach to the management of an organisation’s most valued asset; the people working there who individually and collectively contribute to the achievement of its objectives.” (Armstrong, 2003)
- 3) The important points to note in this definition are:
 - i) strategic and coherent approach,
 - ii) human resources the most valued asset,
 - iii) people working in organisations individually and collectively to achieve the goals and objectives of the organisations.
- 4) The human resources are the only:
 - organic living force, capable of acquiring new knowledge and skills, re-charge themselves according to environmental requirements, prone to flexibility and grow endlessly;
 - forces that can transform all the other resources into tangible products and services, as other resources will remain idle and unused otherwise;
 - resources that have the knowledge and skills, abilities and capabilities, competence and control to build up the organisation, develop its future growth, development, goodwill and reputation;

The purpose of investing in human resources with increasing knowledge and skills is to achieve the above needs are for and stability for any type of organisation, change and diversify, running the activities to become more effective.

- 5) The need to invest time, money and effort in the human resources of the organisation regarding it as the most important primary resource. It is not a cost-based approach i.e. hiring persons just like spending money on other resources. This investment is vital for the growth and development of the organisation even for its survival.

Human resources have special characteristics that call for special treatment. Human beings have volition and free will; no human being is alike. Individually and collectively their behavioural characteristics are likely to vary. An organisation has to take cognizance of this human factor in formulating its HR policies. Human resources handling have to focus employees collectively as human units and not merely as individual employee, just hiring and firing.

The basic sets of principles to be adopted for maintaining quality in HRM are:

- 6) Professionalism;
Personal/group involvement in work in achieving targets;
Formalism;
Up gradation and enhancement of knowledge and skills
Increasing application of Information and Communication Technologies;
Evolution of a corporate culture;
Continued effort to progress and develop.
- 7) The HRM department or division could take appropriate action with reference to the following aspects:

Performance appraisal: review feedback and counseling;
Role analysis and Potential development;
Training policies;
Communication policies;
Job rotation; Job enrichment programs;
Participative and Total Quality Management;
Organisation development and culture; and
Awards, Rewards and Incentives.
- 8) HRM is a continuous process and not merely providing a framework for a set of planning and designing procedures, mechanisms, instruments and techniques, framing rules and regulations and evolve a set of standards for work quality, etc.

Quality of work being central to any system of management, every work-related issue should be examined at periodical intervals and at every level, top, middle and lower that comprises managerial and operational aspects. Task analysis, quality of work life that includes work place, principles of democracy in the implementing processes, autonomous work groups like quality circles, participative decision making and quality assurance of products and services are some of the important and crucial aspects that would need great attention from top and middle managements
Quality of work being central to any system of management, every work-related issue should be examined at periodical intervals and at every level, top, middle and lower that comprises managerial and operational aspects. Task analysis, quality of work life that includes work place, principles of democracy in the implementing processes, autonomous work groups like quality circles, participative decision making and quality assurance of products and services are some of the important and crucial aspects that would need great attention from top and middle managements.
- 9) In the current situation obtaining in Indian library and information centers, HRM principles and practices, discussed in this unit may not be fully relevant. But the fast context of libraries and information centers, particularly with the Indian National Knowledge Commission giving a significant place in Knowledge management in the country, libraries and information centers will get a reasonably good chance to implement some important aspects of HRM principles and practices.

13.8 KEYWORDS

- Autonomy** : The degree to which a job provides substantial freedom, independence and discretion to an individual in scheduling the work and in determining the procedures to be used in carrying it out.
- Counselling** : Helping the employee to grow and develop in the organisation.
- Feedback** : The degree to which an employee acquires skill and the information about the effectiveness of her/his performance.
- Human Resources** : Are the manpower forces of an organisation that transforms all resources into tangible products and services.
- Human Resource Development (HRD)** : A process of helping employees in an organisation acquire new skills and competence on a continuing basis.
- Human Resource Management (HRM)** : Is a strategic and coherent approach to the management of an organisation's most valuable assets ; the people there who individually and collectively contribute to the achievement of its objectives.
- HRD Mechanism** : Organisational and structural elements that together form the components of HRD.
- HRM Process** : The systematic method of implementation of HRM.
- Job Enrichment Programme** : A method of clarification of norms and standards in jobs.
- Job Rotation** : A method of rotating staff to different units of the organisation to pick up skills in all aspects of work.
- Operational Planning** : Executive function for implementation
- Organisation Culture** : A system of work inbuilt into the organisation that promotes voluntary Involvement by employees.
- Organisational Development** : Dynamic growth of an organisation responding to changes in environment advances in technology, etc.
- Performance Appraisal** : Assessment of employees' positive contribution in assigned work.
- Potential Development** : Efforts to exploit the natural talents of an employee.
- Strategic Planning** : A skillful method of providing means, mechanisms and structural elements to streamline organisational work.

13.9 REFERENCES AND FURTHER READING

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UNIT 14 HUMAN RESOURCE PLANNING

Structure

- 14.0 Objectives
- 14.1 Introduction
- 14.2 What is Human Resource Planning?
 - 14.2.1 Human and Intellectual Capital
 - 14.2.2 Human Resources Distribution
- 14.3 Why is Human Resource Planning?
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- 14.7 Summary
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14.0 OBJECTIVES

After reading this Unit, you will be able to:

- comprehend that human resources are human and intellectual capital;
- explain Human Resource Planning (HRP) and its elements;
- discuss the value of HRP;
- describe the methods and techniques of HRP; and
- apply the methods and techniques of HRP in the changing context of Indian libraries and information centres.

14.1 INTRODUCTION

In Unit 13 of this Block you have learnt the basics of Human Resource Management (HRM), of an organisation, the need for and purpose of HRM and how is it done through strategic and operational planning. This Unit introduces the concept of Human Resource Planning (HRP) which is an integral part of HR Management. Human resources are considered in information economics as human and intellectual capital. The vital need and purpose of HRP are explained, indicating the importance of the human resources as invaluable assets, transforming all the other resources into tangible products and services of an

organisation. The process of HRP, explaining the various methods and techniques are described with all their details. The current scenario of Indian libraries and information institutions is discussed, indicating the types of professional persons required in the future. The methods and techniques of HRP could be usefully employed in the changing context of Indian libraries and information centres for personnel selection and recruitment, induction and deployment, quality and skill development for added value, performance assessment, etc.

14.2 WHAT IS HUMAN RESOURCE PLANNING?

Human Resource Planning (HRP) is fundamentally about matching human manpower forces to the strategic and operational needs of the organisation and securing the full utilisation of these manpower forces for obtaining fully, the goals and objectives of the organisation. HRP emphasises the importance of finding people whose attitudes, behaviour and mental frame of mind are likely to be in tune with the cultural philosophy of the organisation to realise the set targets. HRP approach in building manpower resources, on matching these resources in meeting organisational requirements, does not merely mean maintaining the *status quo*, perpetuating the existing culture. In effect, it should be able to combat the radical changes, in particular the fast advancing Information and Communication Technology, in thinking about the competencies required in the future to achieve substantial growth and to reorient itself to introduce new cultural changes.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with the answers given at the end of this Unit.

1) Define Human Resource Planning.

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14.2.1 Human and Intellectual Capital

In this context, it is pertinent and useful to cite the theory of Information Economics in viewing human resources as human and intellectual capital. Human capital consists of the knowledge, skills and abilities of the people employed in the organisation. Human capital is defined as “representing the human factor of the organisation, the combined intelligence, skills, and expertise that gives the organisation its distinctive character. The human elements of the organisation are those that are capable of learning, changing, innovating and providing the creative thrust which if properly motivated can ensure the long-term survival of the organisation.” (Armstrong, 2004). Human capital is considered to have all the human abilities, either innate or acquired which are valuable and can be augmented by appropriate investments. Human capital is the most important element in an organisation’s human resources.

Intellectual capital consists of the stocks and flows of knowledge available in an organisation. These can be regarded as intangible resources which together with tangible resources such as money and physical assets comprise the total value of an enterprise. Intangible resources are defined as the factors that contribute to the value generating processes of an organisation. It includes vision and perspectives to foresee the possibilities and opportunities for future growth of an organisation and navigate its affairs effectively to achieve excellence in its products and services.. They also cover the values attached to such intangibles as goodwill, corporate image and brand.

Self Check Exercise

Note: i) Write your answer in the space given below

ii) Check your answer with the answers given at the end of this Unit.

2) What are human and intellectual capital?

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14.2.2 Human Resources Distribution

Human and intellectual capital is distributed in various measures in the manpower forces employed in an organisation. While the intellectual capital is concentrated at the top management who have the duty and responsibility to lead the organisation to achieve its present and future goals, the human capital is distributed at all levels in the organisation in different and appropriate measures. This distribution is not necessarily rigid as quality, competence and ability can come from any level of the organisation. Usually the top management executives are persons deliberately chosen with brilliant academic and professional records and experience, leadership qualities that have the intangible attributes in greater measure than persons selected at lower management levels.

The Chief Executive Manager and a few associates, with visionary zeal and enthusiasm, carry the full load of the organisation, to plan its goals and objectives, setting immediate and long range targets and provide organisational structure and set norms and standards for the various functions and measurement yardsticks and scales of performance of the staff of the organisation.

Some of the world famous organisations like Microsoft, Infosys, Bhabha Atomic Research Centre are well known for their top executive leaders who have brought about extraordinary success to their respective organisations and set examples for highest quality and excellence of performance. Homi Bhabha, Bill Gates and Narayanmurthy are well known names today.

The middle and lower management personnel will have the appropriate qualifications and experience related to their respective duties and responsibilities to perform with efficiency and motivated to give the best to the organisation.

It is important to note from the foregoing discussions that the process of HRP is vital and has to be given the best attention it deserves. It should, however, be done strictly as determined and directed by the overall goals, objectives, plans, policies and set targets of the organisation.

The ideas and process of planning are recapitulated here for putting our discussions on HRP in the right perspective. As you have already learnt, strategic and operational planning involves:

- Determination of desired goals and objectives and setting targets to fit into a time frame;
- An assessment of the future in relation to changes, expected and anticipated, in particular with the application of the incredibly fast advancing information and communication technologies and customer requirements;
- Selection of activities, programme and projects to achieve the set targets;
- An estimation of the resources required to carry out the decided tasks;
- Preparation of a written plan, giving scope for flexibility; and
- Setting a programme of action for implementation of the plan.

14.3 WHY IS HUMAN RESOURCE PLANNING?

The vital necessity for Human Resource Planning for an organisation can never be over emphasised. We have mentioned repeatedly that human resources are the most important assets of an organisation. It is the knowledge, skills and abilities of individuals that create value which is why the focus of attention has to be on the means of attracting, retaining, developing and maintaining the human capital they represent.

14.3.1 Need and Purpose

We have mentioned that Human Resource Planning is a continuous process and not a one-time activity. Of course, it should be strictly in tune with the overall planning and policy of the organisation. The reasons are as follows:

The initial exercise in HRP is to match the selection and recruitment process of manpower resources to match with the goals and objectives of the organisation. But it does not stop there. In tune with the fast advancing technologies and customers (users) requirements, the staff of the organisation will have to obtain new knowledge and skills to apply successfully to the new changing requirements.

While the employees of the organisation provide the bones and sinews for achieving the targets of an organisation, the employers of the organisation should also compensate the staff adequately so that their loyalty to the organisation and motivation to give their best to the organisation do not suffer at any point of time. Therefore all the methods, tools and techniques that establish the smooth and willing participation of the employees in the management of the organisation have to be necessarily based on a well thought out programme. The preparation with techniques and methods of such well thought out plan would be part of Human Resources Planning.

These aspects discussed above will form part of Unit 15 Human Resource Development (HRD). As a matter of fact, both HRP and HRD are integral parts of Human Resource Management. They are split into distinct units to help the process of learning to understand their significance and importance to emphasise that human resources are the most valuable assets.

Human Resource Planning is, therefore, a comprehensive effort to include various kinds of methods not only to retain the manpower resources so carefully built up but to develop their knowledge and skills also to the changing requirements of the organisation for survival and future growth.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with the answers given at the end of this Unit.

3) Explain the need of and purpose for HRP.

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14.4 CHANGING SCENARIO OF INDIAN LIBRARIES AND INFORMATION INSTITUTIONS

A number of factors can be attributed to the fast changing scenario of Indian libraries and information institutions. Information and knowledge are considered today the most important, invaluable and powerful force that can bring about all-round growth and development of the economy of a country. As pointed out earlier, the National Knowledge Commission of our country has given a very significant place to libraries and information institutions in the process of transforming our national economy into a knowledge economy.

Currently libraries and information institutions are changing fast with the application of computer and information technology. With increasing development of software packages for library automation, many libraries have found it necessary and useful to automate their activities for quality user services. As many libraries are finding that with computerisation, there is likely to be increased productivity, improved reader services, faster movement of acquisitions between their delivery and appearance on the shelves, improved stock control and a better quality of working life for all concerned. But to what extent these expectations would materialise depends entirely on the quality of the manpower forces that operate in library and information institutions.

As present Indian libraries and information institutions are at various stages of modernising their systems and services, resorting to automation, selective digitisation of their specific collections in some libraries, using Internet and other

networks and websites for searching and retrieval, etc. Some of them have advanced in completing this process and many of them are in the transition stages, operating in the conventional mode for their retrospective collection and offering computerised services for their newer acquisitions. All these changes are seen in:

- The nature of their collection;
- Technical Processing;
- Serials Control;
- Readers Services;
- Information Retrieval Services;
- User Orientation; and
- Staff Training, etc.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with the answers given at the end of this Unit.

- 4) In what areas do changes in libraries and information institutions get reflected?

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As far the nature of the collections in libraries, although print materials predominate, electronic forms, such as CDs, digital forms, and others are increasingly part of their holdings. With publishing and book trades having switched over to computer-based services, acquisition programme also have changed in libraries, using these facilities with library automation software packages.

Library processing also have been changing fast using library automation packages, making their catalogues available online for accessing their collection for users.

With various changes in serial publishing, on line accessibility and many other innovative programme, serials acquisition and control, resource sharing, etc. are fast changing in libraries.

Readers services like circulation, literature searching and retrieval through Internet, specialised networks and websites, etc. many libraries have improved their services.

Reading rooms with access to computers to search in-house catalogues, Internet searching facilities, etc. have also been provided by many libraries. As large number of users have learnt searching through Internet.

To meet the challenges of new environment, many libraries have been training their staff to acquire computer skills, exposing them to Microsoft office packages, like MS Word, Power Point, Excel and Access and in learning software languages to create in-house databases, besides learning software languages for specific purposes.

Library and Information Science Schools have also been introducing new programme in training staff with knowledge and skills in ICT. In addition to the supply of manpower from LIS Schools, business and management schools have started advance programme in virtual library management and knowledge management, particularly in US and England, in which many Indian students are getting trained. So the market for library and information management is becoming more competitive.

While all these changes are essential and absolutely necessary in the changing context, the philosophy of library profession conceived by erstwhile learned scholars of our profession should remain intact. Some of these are:

- Library service is basically a service-oriented activity and has to remain so for ever, despite flourishing information business.
- Library and Information Profession is an intellectual profession with persons having a good subject background and knowledge, in addition to professional knowledge as deemed necessary with changes especially brought about by ICT and other factors.

There are quite a few areas of current professional education and training, work experience in different situations that should stand by LIS professionals to deal with various professional demands of the future.

For example, subject classification and indexing, designing classification systems and thesauri construction, searching techniques in information retrieval, abstracting, condensation, consolidation, repacking of information, methodologies for picking up domain knowledge in subjects, intimate knowledge of knowledge and information resources, their intricacies in using them and similar others are invaluable in any context for developing innovative products and services. With modern computer facilities for research, these methods and techniques should improve substantially.

Taking all these into consideration and for the foreseeable future, the professional knowledge and skill requirements should be with a blend of the following areas:

- A good subject background with abilities to pick up domain knowledge and skills in related and relevant to areas of the activities of parent bodies;
- Computer knowledge and skills to operate ICT based systems and services with considerable expertise and efficiency;
- Management skills to run the newly developing libraries and information institutions, particularly large institutions like university libraries, information centers of research complexes, large industrial undertakings, mass media and such others;
- Communication skills both in written and oral forms to deal with various types of persons in different contexts;

- Abilities and competence to handle information demands in fast emerging sectors like energy and power, tourism and entertainment industry, hospitality industry and such others.
- Intangible personal characteristics, conducive to maintain best public relations to build up and maintain a good image and reputation of their respective institutions and the profession.

It is, indeed, very unlikely to get a supply of these blend of professional persons and possibly human development programme should, therefore, should take care to provide these types of quality human resources.

With this background, let us discuss Human Resources Planning in the following sections of this Unit.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with the answers given at the end of this Unit.

- 5) What kind of blend of human resources in libraries and information institutions are likely to be in demand in the foreseeable future?

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14.5 ELEMENTS OF HR PLANNING AND POLICY

The following are the different elements of Personnel Planning:

- Estimating manpower requirements quantitatively and qualitatively;
- Selecting and recruitment of persons;
- Induction and deployment;
- Development of knowledge and skills;
- Performance assessment, counselling and coaching; and
- Communication.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with the answers given at the end of this Unit.

- 6) Specify the different elements of HRP.

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14.5.1 Estimating Manpower Requirements

As discussed above, with the changing dimensions of library and institutions and the mechanism of operations taking new forms, the problem of estimating manpower requirements is not only critical but also complex. We have already stated that the qualifications and professional training required for managing these new types of institutions have to be a blend of persons with several skills and knowledge. Even in small information units or libraries wherein only a few persons work, the different categories of services would demand correspondingly different skills and knowledge. Therefore a proper estimation of manpower requirements both in terms of quantity and quality is critically important.

The estimates of the personnel of a library/information institution have to be necessarily based on the current and possible future activities, programs and projects on the basis of the targets set up over a period of time and budgetary provisions. The qualitative nature of persons required have to be simultaneously assessed through techniques like job and work analysis, job descriptions and job evaluation, which would establish norms and standards of performance measurements.

The appointment of the top executive of large institutions or the head of smaller units is extremely important, critical and crucial for ensuring the success of the organisations. The top persons have to lead the organisations/units with abilities to take the staff with them and achieve the set targets within the time frame and also envisage its the future growth.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with the answers given at the end of this Unit.

7) How are the estimates of personnel of library/ information institution made?

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14.5.2 Selection and Recruitment

Although the general policy and procedure for selection and recruitment of personnel are more or less the same, the selection and appointment of the top executive needs extra care and special attention.

Top Position

Apart from advertisements to the top position in the newspapers and professional journals, recommendations to the post are invited from experts in the field. The applications are screened along with names recommended and short listed for personal interviews. The selected candidates are generally invited for presentations of their ideas for the management and growth of the organisation and thereafter,

the appointment orders are issued to the finally selected candidates. The selection and recruitment of the other positions in the organisation are done with the appointed top executive in the selection process.

Middle and Lower Level Position

The procedure for selection and recruitment of candidates for other middle and lower positions are as follows:

Once a proper assessment of manpower requirements is made, their procedural steps are:

Obtaining sanctions for filling up of the vacancies from the personnel department so that the process of selection and recruitment gets the right attention and speed.

Advertisements are made in appropriate newspapers and professional journals of the types and number of positions to be filled up with the other details of job descriptions of positions with their duties and responsibilities, employment opportunities for professional advancements, career prospects, salary structure and fringe benefits and the other related aspects.

All these or any group of job information desired by the parent organisation have also to be determined. Even in small organisations, the person heading the library and information units, should initiate action at the right time.

The routine operation involved in selection and recruitment of persons are usually conducted by the personnel departments of the parent organisation. Screening the applications to shortlist candidates for personal interviews, if necessary, after holding written tests. Personal interviews are conducted usually by a selection committee with external experts. If required, other means to ensure the suitability of persons for different positions are resorted.

As mentioned earlier, the process of filling up the positions at the middle and lower levels has to be done with the initiative of the top executive or the head of the unit, even though the procedure or selection and recruitment involves the personnel department of the parent organisation. The duty and responsibility of the top person necessitates her/his total involvement in getting the right candidates for the right positions. This safeguards the interest of the top executive to ensure success.

14.5.3 Induction and Deployment

One of the most important and surest ways to retain and motivate the recruited person to the position(s) is to induct the person properly into the organisation to make the person get a feeling that s/he has joined the right organisation. The steps involved in this process are:

- An orientation programme, conducted usually by the personnel division of the parent organisation, introducing the candidates to all the other senior members of other departments and the functions they perform;
- Induction to the library and information unit by the head, giving a complete overview of its various operations and services, introducing her/him to all the other colleagues.

An orientation programme is an informal introduction to the organisation in terms of its goals and objectives, organisational discipline, employee benefits, salary schedules, health care and medical provisions, attendance, leave regulations and rules, holidays, grievance procedures, hours of work, coffee break, telephone facilities and such others that are not commonly known to a newcomer when the person joins the organisation.

The head of the library/information unit gives the full picture of all the activities of the unit, its role *vis-à-vis* the parent organisation, structural organisation of the library, the section to which s/he is to be posted, the nature of the work with the duties and responsibilities and the other colleagues. The person under whom the new recruit attached has to explain the job with particular reference to the practices and routines established by the library/information unit.

The kind initial systematic induction and deployment would pay rich dividends in the course of time in getting the newcomer a familiarity with the environment and persons with whom s/he has to work. These efforts would ensure a greater chance of getting the best performance from the individual who also would feel that safe and secure to stay in the organisation.

This aspect of induction and deployment is very often neglected and do not get any attention that gives a newcomer a sense of insecurity and fear. The performance of the new recruit naturally will get affected by this negligence.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with the answers given at the end of this Unit.

8) What are the steps involved in the induction and deployment of new entrants?

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14.5.4 Development of Knowledge and Skills

The development of knowledge and new skills of the human resources of the library and information units is a big responsibility of the head of the unit. S/he has to assess the strengths and deficiencies of her/his staff and decide appropriately the best ways to handle them.

While this area of Human Resource Development is to be discussed in Unit 15, in this Unit we present a few points to highlight this aspect here.

Training and development of personnel is done to acquire higher knowledge and skills are to build up the capacity, ability and competence of the employees to attune themselves to the changing requirements of libraries and information institutions. This may include the following points:

- Orientation courses to give new entrants an exposure and acclimatisation to the environment and other persons;
- In-service training programme are meant to give junior persons an opportunity to pick up practical skills in a particular section;
- Workshops on specific areas to middle level technical staff to enable them acquaint themselves with current developments in a given field;
- Short term courses in new areas to any group to enable its members to emulate current trends;
- Continuing education programme to groups to enable them to know current trends and advances in their particular areas of work.

In planning training programme, the following aspects need to be taken care of:

- i) Need for training identification of areas of training and number of persons to be trained in a time frame;
- ii) Assessment of training programme, internal as well as external to decide which one would fulfill the needs of the library and staff;
- iii) The quality of the training programme;
- iv) Evaluation of candidates who have undergone the training and properly using their new skills;
- v) Every area of training requirements needs to be considered viz, administration, financial, professional and others.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with the answers given at the end this Unit.

9) State the different points that need attention in training and development programme.

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14.5.5 Performance Assessment, Counselling and Coaching

Performance assessment is a systematic evaluation of an individual employee’s job-related strengths and weaknesses. This is applicable to every level of management in an organisation. The performance assessment would vary, with

appropriate yardstick and scale respectively at the top, middle, lower levels. The assessment of performance is done against accepted norms and standards.

The substance of performance assessment is that all work in a library/information unit is to conform in content, form and amount to some preset standards. The purpose of this exercise is to lead to improved performance, awards/rewards/incentives for best performance, etc. Persons who need proper guidance and advice to improve their output and quality also have to be identified with reference to their areas of inadequacy. What needs to be done has to be planned to give appropriate counselling, coaching or intensive training to those who need this kind of support for self development. It is easy to condemn an employee for poor performance but the fact is that no one is unfit for every work. It is the supervisor's responsibility and duty to find a suitable place for such employees to rehabilitate them.

14.5.6 Communication

A communication system in an organisation serves to supplement and complement staff development programme. We have already discussed that communication programme of an organisation are very necessary to keep the members of the staff well informed of its activities. These programme provide a synergetic effect in building up staff strength, participation, capabilities, behaviour and professional quality. Communication may help personnel in many ways such as:

Organisational culture, viz. values, ideas and establishing a social relationship. A notion of ethical values builds a behavioral pattern among the employees through organisational culture.

Holding periodic meetings of employees to discuss matters of common interest to achieve some purpose or goal is healthy practice. The constitution of different committees for different purposes ensures staff participation in planning, decision making, problem solving, performance appraisal, etc. Handled with proper attention and care, meetings will result in creative thinking, multiple thought input, enhanced group cohesiveness, cooperation and communication leading to better decision making.

In-house bulletins, newsletters, annual reports, and other periodical communication reports provide information to the employees to know about first hand the activities and progress of the organisation. Some of these reports are prepared by the members of the staff, having been selected by the organisation for this purpose which is conducive to healthy growth.

Quality Circles (QC) which is the current method of opening up news channels of communication in participative management is an important means of communication. Quality Circles are small groups of employees without any discrimination of their positions and rank who normally work together, meeting regularly to agree upon ways of improving quality, productivity and other aspects of their day to day working arrangements. They are encouraged by management as a concrete measure to involve employees in its activities.

Self Check Exercise

- Note: i) Write your answer in the space given below.
- ii) Check your answer with the answers given at the end of this Unit.

10) What are different methods of communication that would establish good relationship in the organisation?

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14.6 MANPOWER PLANNING FOR LIBRARIES AND INFORMATION INSTITUTIONS IN INDIA

This section on manpower planning for Indian libraries and information institutions should be read in conjunction with the section on Changing Scenario of Indian Libraries and Information Institutions.

Most of the libraries and information/centers/ units in India are functioning as constituents of various academic and research complexes like Universities, R & D establishments, Government Ministries, Departments, Agencies, Private/Public Industrial Undertakings, Business and Trade Organisations, Mass Media, etc. The General planning and policies of building human resources, governing their respective parent bodies are applicable to their libraries and information units. With the growing and changing patterns of information institutions, management plans and formulation of policies exclusively for libraries and information institutions relevant to the new conditions seem to be necessary and inevitable. Besides various compulsions like ICT applications, fund crunch, volume and variety of information resources, increasing demand for innovative information services, consequent upon the newly emerging sectors like energy and power, tourism and entertainment industry, fashion technology and such others are compelling reasons for a new thinking for manpower planning. In addition, information industry and business and marketing of information products and services, emphasis on user needs and quality service are operating in their own rights, many successfully. All these developments are driving information institutions to restructure their manpower building strategy and operational structures.

A design methodology for manpower planning in the changing context would have to be based on broad goals that would keep users and their information needs at the center, building up information collection and stocks relevant and appropriate to users needs, with the provision for access and availability of information irrespective of their location using ICT facilities and for innovative services. The steps in manpower planning would constitute the following:

- Establishing result oriented selection and recruitment procedures;
- Inducting newly recruited staff appropriately;

- Enhancing staff knowledge and skills through training;
- Measuring quality products and services;
- Evaluating results at periodic intervals;
- Retuning the organisation at proper intervals.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with the answer given at the end of this Unit.

- 11) State the steps involved in manpower planning for libraries and information institutions of the future.

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14.7 SUMMARY

In this Unit, we have discussed Human Resource Planning (HRP) as an integral part of Human Resource Management. Human Resources are considered as human and intellectual capital which is distributed, in appropriate measures at the different levels of an organisation. HRP is matching human resources selected and recruited to the different tasks of the organisation to achieve its goals and objectives. The methods, tools, and techniques of HRP are discussed in relation to the changing context of Indian libraries and information institutions. In order to understand this, an overview of the Indian scenario of Indian libraries and information institutions is presented, indicating the type of manpower required in the future.

The elements of HRP that include estimating the quantity and quality of manpower required, selection and recruitment, induction and deployment, performance assessment of employees with appropriate yardsticks, development of knowledge and skill, communication are all discussed in detail. In the end how these ideas of HRP could be usefully employed in the changing context of Indian libraries and information institutions are indicating a few steps of HR Planning.

14.8 ANSWERS TO SELF CHECK EXERCISES

- 1) Human Resource Planning (HRP) is fundamentally about matching human manpower forces to the strategic and operational needs of the organisation and securing the full utilisation of these manpower forces for obtaining fully the goals and objectives of the organisation.
- 2) Human capital is defined as “representing the human factor of the organisation, the combined intelligence, skills, and expertise that gives the organisation its distinctive character. The human elements of the organisation are those that are capable of learning, changing, innovating and providing the creative

thrust which if properly motivated can ensure the long-term survival of the organisation.”

Intellectual capital consists of the stocks and flows of knowledge available in organisation. These can be regarded as intangible resources which together with tangible resources such as money and physical assets comprise the total value of an enterprise. Intangible resources are defined as the factors that contribute to the value generating processes of an organisation.

It includes vision and perspectives to foresee the possibilities and opportunities for future growth of an organisation and navigate its affairs effectively to achieve excellence in its products and services. They also cover the values attached to such intangibles as goodwill, corporate image and brand.

- 3) Human Resource Planning is a comprehensive effort to include various kinds of methods not only to retain the manpower resources so carefully built up but to develop their knowledge and skills also to the changing requirements of the organisation for survival and future growth.
- 4) Changes reflected in libraries and information institutions are in the following areas:
 - The nature of their collection
 - Technical processing
 - Serials control
 - Readers services
 - Retrieval services
 - User orientation
 - Staff training; and similar others
- 5) The blend of human resources likely to be in demand in future libraries and information institutions are:
 - A good subject background with abilities to pick up domain knowledge in any related subjects of the parent body.
 - Expertise in computer knowledge and skills management of skills to manage complex professional organisations.
 - Communication skills, oral as well as written.
 - Many desirable intangible characteristics to build up and maintain goodwill, image and reputation of the institutions and such others.
- 6) The following are the different elements of Personnel Planning:
 - Estimating manpower requirements quantitatively and qualitatively;
 - Selecting and recruitment of persons;
 - Induction and deployment;
 - Development of knowledge and skills;
 - Performance assessment, counseling and coaching; and
 - Communication.

- 7) The estimates of the personnel of a library/information institution have to be necessarily based on the current and possible future activities, programs and projects on the basis of the targets set up over a period of time and budgetary provisions. The qualitative nature of persons required have to be simultaneously assessed through techniques like job and work analysis, job descriptions and job evaluation, which would establish norms and standards of performance measurements. The quantitative assessment is also done at this point.
- 8) Induction and deployment of new entrants of a library would involve the following steps:
- An orientation program conducted usually by the personnel division of the parent organisation;
 - Induction into the library by the head of the library;
 - Introduction to the colleagues of the other section; and
 - Introduction to the work that the person is assigned by the head of the library.
- 9) In planning training programs, the following aspects need to be taken care of:
- Need for training identification of areas of training and number of persons to be trained in a time frame;
 - Assessment of training programs, internal as well as external to decide which one would fulfill the needs of the library staff;
 - The quality of the training program;
 - Evaluation of candidates who have undergone the training and properly using their new skills; and
 - Every area of training requirements needs to be considered viz. administration, financial, professional and others.
- 10) Communication programs in organisation will include among others, the following:
- Promotion of organisational culture;
 - Oral communication formally and informally among staff and employers;
 - Written communication through In-house bulletins, Newsletters, Periodical reports, etc; and
 - Promoting Quality Circles and encouraging meetings, staff participation in improving the quality or products and services.
- 11) The steps in manpower planning would constitute the following:
- Establishing result oriented selection and recruitment procedures;
 - Inducting newly recruited staff appropriately;
 - Enhancing staff knowledge and skills through training;
 - Measuring quality products and services;
 - Evaluating results at periodic intervals; and
 - Retuning the organisation at proper intervals.

14.9 KEYWORDS

- Communication** : Interpersonal communication between the management and employees as well as among the employees through various mechanisms.
- Deployment** : Posting persons to appropriate places in the organisation.
- Human Capital** : Human capital represents the human factor in the organisation, combined intelligence, skills and expertise that gives the organisation its distinct character.
- Induction** : Process of introducing new entrants into the organisation.
- Intellectual Capital** : Consists of the stocks and flows of knowledge available in an organisation, including the intangible qualities of persons.
- Organisational Culture** : Process of generating values, ideas and practice at different levels of work in an organisation.
- Performance Appraisal** : Assessment of work accomplished by employees to determine their contribution, strengths and weaknesses.
- Personnel Planning** : Process that helps organisation to assemble adequate number and quality of staff.
- Quality Circles** : Small groups of employees working together, meeting at regular intervals to discuss improving the quality of the work they are involve in.
- Recruitment** : Process of securing the required persons through a formal method.
- Selection** : Assembling applications for a job through suitable methods and choosing the list from among them.

14.10 REFERENCES AND FURTHER READING

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UNIT 15 HUMAN RESOURCE DEVELOPMENT

Structure

- 15.0 Objectives
- 15.1 Introduction
- 15.2 Concept of Human Resource Development (HRD)
 - 15.2.1 HRD Strategy
 - 15.2.2 HRD Philosophy
 - 15.2.3 Key Elements of HRD
- 15.3 Human Elements of the Organisation
 - 15.3.1 Studies on Human Behaviour
 - 15.3.2 Leadership
 - 15.3.3 Motivation
 - 15.3.4 Communication
- 15.4 Management Approach Towards Quality
 - 15.4.1 Participative Management
 - 15.4.2 Total Quality Management (TQM)
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 - 15.4.4 Health and Safety
- 15.5 Human Resource Development in Libraries and Information Institutions
- 15.6 Summary
- 15.7 Answers to Self Check Exercises
- 15.8 Keywords
- 15.9 References and Further Reading

15.0 OBJECTIVES

After reading this Unit, you will be able to:

- comprehend the concept of Human Resource Development (HRD);
- explain HRD strategy;
- describe the elements of HRD;
- explain the value of HRD Philosophy;
- highlight the human elements of an organisation;
- discuss the application of management techniques to HRD such as participative management and TQM; and
- apply the principles of HRD to Indian libraries and information institutions.

15.1 INTRODUCTION

We have discussed in Unit 14, knowledge development and skills as elements of Human Resource Planning, to enhance the competence and capability of personnel selected and recruited in an organisation for quality improvement. In this Unit,

we are accentuating on the importance of the development of human resources as a continuing effort to prepare the organisation for its future needs of growth and development. No organisation, in fact, can afford to remain static in any field of activity, lest it would perish. Dynamic growth and development of any organisation involves augmentation of every economic factor of production and services, such as raw materials, finance, capital and entrepreneurship, the last of which is related to human resources. Human Resource Development (HRD), therefore, is a permanent continuing activity of a dynamic organisation and has to be understood in all its ramifications.

Qualities of leadership are a crucial factor in developing human resources, particularly from the point of behavioural psychology, emotional characteristics, and overall involvement in work with proper attitudes and approaches to work. Motivation and communication are important techniques that can contribute to employees' performance quality.

Participative Management, Total Quality Management, Career opportunities, health and safety, and a few management techniques that are useful in HRD are discussed in the context of Indian libraries and information institutions with their application feasibility.

15.2 CONCEPT OF HUMAN RESOURCE DEVELOPMENT (HRD)

HRD concept is concerned with the provision in an organisation, for learning, development and training opportunities in order to improve individual, team and organisational performance. HRD is essentially a goal and target oriented activity, constantly endeavoring to update and tune its human resources to advance in knowledge and skill, to meet all the requirements of a growing organisation. Strategic planning of HRD is necessary to have a well thought programme to execute it effectively.

Self Check Exercise

- Note:** i) Write your answer in the space given below.
ii) Check your answer with the answers given at the end of this Unit.

1) What is HRD concept concerned with?

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15.2.1 HRD Strategy

Strategic HRD is a set of programme in an organisation, for providing facilities and opportunities for its manpower force for education, learning, development and training in order to improve individual, team and organisational performance. This is a continuing activity, as stated above, to be always prepared for future

growth and development. In other words, strategic HRD arises from a clear vision about people's abilities and potential and operates within the overall strategic framework of an organisation's goals and objectives. It takes a broad and long term view about how HRD policies and practices, supporting the achievement of set targets with reference to its present and future tasks. It is concerned with enhancing its human resource capability in accordance with the belief that an organisation's human resource as a major source of competitive advantage. It is therefore about developing the intellectual capital required by the organisation, as well as ensuring that right quality of people is available to meet not only the present but future needs also.

So, Strategic HRD aims to produce a coherent and comprehensive framework for developing the human resources of an organisation. Much of HRD process will be geared to providing an environment in which employees are encouraged to learn and develop. HRD activities may include traditional training programme but emphasis is much more on developing on intellectual capital and promoting organisational team and individual learning. The focus is on creating an environment in which knowledge is developed and managed systematically. Strategic HRD is also about planning approaches to the encouragement of self-development (self managed learning) with appropriate support and guidance from within the organisation. It should also deal with the human elements of an organisation in its entire entirety to supplement and complement all the efforts at intellectual development.

It is useful to recall here the definition of 'intellectual capital' that it consists of the stocks and flows of knowledge available to an organisation and includes intangible resources that can contribute to its value generating processes. These comprise the value of all relationships inside and outside the organisation, including those with customers and suppliers. They also cover the value attached to such intangibles as goodwill, corporate image and brands.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with the answers given at the end of this Unit.

2) What are the aims of HRD Strategy?

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15.2.2 HRD Philosophy

It is pertinent, relevant and useful to reproduce HRD Philosophy, as conceived by Michael Armstrong in his work on *Handbook of Human Resource Management Practice* (page 527), as this philosophy can be regarded as a set of directive principles for HRD.

- “HRD makes a major contribution to the successful attainment of the organisation’s objectives and that investment in it benefits all the stakeholders of the organisation.
- HRD plans and programs should be integrated with and support the achievement of business and human resource strategies.
- HRD should always be performance related, designed to achieve specified improvements in corporate, functional, team and individual performance and makes major contribution to bottom-line results.
- Everyone in the organisation should be encouraged and given the opportunity to learn – to develop their skills and knowledge to the maximum of their capacity.
- Personal development processes provide the framework for individual learning, including behavioral upliftment conducive to a total growth of the individual.
- While we recognise the need to invest in learning and development and to provide appropriate learning opportunity and facilities, the prime responsibility for development rests with the individual who will be given the guidance and support of his or her manager.”

With this background, let us study the key elements of HRD in the next section of the Unit.

Self Check Exercise

- Note:** i) Write your answer in space given below.
ii) Check your answer with the answers given at the end of this Unit.
3) How is HRD philosophy serves as a directive principle to HRD?

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15.2.3 Key Elements of HRD

The Key elements of HRD are to develop the intellectual knowledge, various technical skills of the human resources and aid self-development in all its dimensions. The intellectual, knowledge and skill developments are acquired through learning, formal education, training and self-development with Internet facilities and Intranets of the organisation.

Intellectual, Knowledge and Technical Skills

Learning: It is a process of acquiring knowledge with formal studies, skills with observation and involvement in work by individuals or teams that produce a relatively a qualitative change in their behaviour that occurs as a result of practice and experience. The process is varied and complex, covering a wide range of

efforts to acquire, besides knowledge and skills, insights, beliefs, values, attitudes, and habits. Individuals learn for themselves by doing things and from instructions of knowledgeable people and also from organisation's stocks of knowledge. They learn as members of teams and by interaction with their managers, co-workers and people from outside the organisation. The ways in which individuals learn differ and the extent to which they learn depends upon how largely or how well they are externally motivated or self-motivated.

Education: Individuals may enhance their academic and professional knowledge by studying in formal educational institutions for various degrees and diplomas. These should be relevant to and necessitated by the organisations growth. The organisation will decide on the person(s) to be going through formal education.

Training: While learning is the process by which a person acquires new knowledge, skills and capacity, training is the use of systematic and planned instructions and development activities to promote practical hands-on skills. Training programme may consist of a short formal training course, a series of short courses on job modules, or a fairly lengthy period, lasting for weeks, of a professional course. Planning the overall training programme means prioritising training activities in the light of analysis of learning needs and deciding on the resources required. Planning individual programme means selecting the right blend of training techniques and deciding on the extent to which the training is to be held on the job or off the job, in-house or externally. Decisions have also to be made on who provides the training. Increasingly this is being outsourced to training providers, that is, outside experts are invited to be on the faculty and also training specialists within the organisation. This is based on needs analysis, planning and evaluation. Finally the effectiveness of training needs to be evaluated systematically.

Self Check Exercise

- Note:** i) Write your answer in the space given below.
ii) Check your answer with the answers given at the end of this Unit.
- 4) What are the key elements of HRD?

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Conditions for Effective Learning

Here learning includes all the types formal and informal learning mentioned above. The whole program of learning, training, education, etc. can be effective only on the following conditions:

- Learning, education, etc. are all very active processes. Persons undergoing these must be totally involved, dedicated and devoted.
- Individuals ought to be motivated externally or self-motivated; the latter is likely to yield much better results.

- Effective learning is likely to be achieved if learners have learning goals and oriented towards their own roles in the organisation.
- Learners need a sense of direction and feedback on how they are doing. Self-motivated individuals may provide much of this by themselves, but learning facilities should still be available to encourage and help when necessary.
- Learners must have the satisfaction in what they learn. They should feel that they are gaining something which will be very useful in their work.
- Written course material should be provided in any process of learning. The course methodology should use all modern presentation methodology.
- Learning requires time to assimilate, test and acceptance. This time should be provided in the learning program.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with the answers given at the end of this Unit.

5) What are the conditions for an effective learning?

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Self-Development: E-Learning

Learning is a never ending process, irrespective of the level at which a worker is functioning, salary or status. In today’s context, self-learning opportunities are unlimited, particularly with ICT.

“E-Learning is learning -or- training that is delivered by electronic technology. It makes use of the Internet and World Wide Web, and intranet within the organisation. The aim is to enhance self-learning. It extends and supplements face-to-face learning rather than replace it.”

Internet and web pages have literally brought a reference library to a home, if computer and broad band facilities are available to an individual. Practically every type of search is possible with Internet with downloading and printing facilities. Files on many topics can be prepared for reference and there is no limit to this. Many services of the Internet are free but some are priced. This is the best method for self-learning, including learning courses through on-line facilities.

E-learning focuses on the learner. It provides a means of analysing individual learning needs. This process may be achieved by participation in learning groups or communities of interest in which members both gain and share knowledge.

Self Check Exercise

- Note:** i) Write your answer in the space given below.
ii) Check your answer with the answers given at the end of this Unit.
- 6) What is e-learning?

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15.3 HUMAN ELEMENTS OF THE ORGANISATION

With all the strategic programme for enhancing the competence and capability of human resources, it would be incomplete if the human elements of individuals and groups are unattended. While the intellectual capital and acquisition of numerous technical skills are getting expanded with reinforcements, if all the idiosyncrasies of human beings are not taking care of, the progress of growth and development of the organisation will be seriously impaired.

HRD strategy should include as much as possible the human element of the organisation. For instance, what causes human beings to act the way they do? What needs do the staff have? How should the workers be treated to be most productive? If the ultimate goal of the organisation is to be more effective and efficient, it is obvious the people who work for the organisation are the key factors in achieving success.

15.3.1 Studies on Human Behaviour

There have been a number of studies and theories on the importance of human behaviour and on the psychological factors that make or mar the progress of an organisation. In this Unit, we are focusing on three major studies/ theories viz., the Hawthorn Studies, McGregor's Theory of X and Theory Y and Maslow's Hierarchy of Needs which highlight the importance of human elements in an organisation.

Hawthorne Studies

Elton Mayo and his co-researchers felt that if the best work environment could be determined, then workers would be more efficient and become less tired. They also felt the importance of evaluating the attitudes and reactions of workers to their jobs and their environment. They attempted through several experiments to determine the relationship between working conditions and productivity. They set up test groups, for which changes were made in lighting, frequency of rest periods and working hours and control groups, for which no changes were made.

In a final experiment they discovered that the workers had developed their own idea of the level of fair output. This informally developed norm was enforced on the work group to the point that total output was restricted. Any worker who

produced more than the norm was pressurised by other workers to comply with the norm.

The lesson of Hawthorne experiments was that psychological needs of individuals have a significant impact on group performance and that employees often misstate their concerns. As a corollary it was also learnt that when employees are given special attention, output is likely to increase regardless of the actual changes in the working conditions (Hawthorne effect). In other words, the result supported the thesis that reasonable satisfaction of the needs and desires of employees will lead to greater output.

The Hawthorne Studies in the 1930's were among the first studies that demonstrated the importance of the human side of the organisation. This Study is important because it shows that

- Employees respond to managerial efforts to improve the working environment;
- Employees respond to being allowed to make decisions that affect their work pattern and job behaviour;
- Informal group of workers through which an individual employee acquires a feeling of belonging and being welcomed. Management considered these groups to be threats and not in the interest of the organisation. But Hawthorn Studies indicated that these informal groups can be a positive force helping management to achieve goals;
- The informal group needs to develop a sense of dignity and responsibility and needs to be recognised as a constructive force in the organisation; and
- The worker must feel that s/he is needed and welcomed in the organisation.

In substance, the Hawthorn Studies recognised that the organisation is social systems and that the productivity of workers is a result not out physical factors but of interpersonal ones also.

Although the Hawthorn Studies were related to workers in an industrial setting, they had influence on the management of other types of institutions.

Mcgregor's Theory X and Theory Y

Without going into details, Theory X is a very pessimistic assessment of human nature that the goals of the employee and the organisation are incompatible and place major reliance upon the use of authority to control workers.

Theory Y presents a much more positive picture of people. It implies that human nature is dynamic and indicates that they have the capacity to grow and develop. It makes management responsible for creating an environment that permits the positive development of individual employees. Most people, McGregor held, have the potential to be self-motivated and mature. Some may not realise that potential; however, the management has to create a structural and controlled work environment for those employees. Theory Y had greater acceptance among management in the course of time, although there was some resistance in the beginning.

Maslow's Hierarchy of Needs

Another theory that had considerable influence on management practices was Maslow's Hierarchy of Needs. Maslow's theory is based on the fact that man is perpetually wanting being and a particular need may be satisfied, but not need in general. Further, a substantially satisfied need no longer motivate the behaviour of the individual and it is the unsatisfied need that motivates man. These needs have a definite sequence of domination and can be arranged in a series of levels. Maslow postulated that all individuals have needs and these needs can be ranked in one predetermined hierarchy. He identified five levels of needs as given below, ranking from bottom up:

- Physiological needs
- Safety needs
- Social needs
- Esteem needs
- Self actualisation needs

Commenting on Maslow's postulates of the above five steps, Armstrong holds the view as stated below:

Although Maslow's theory does have flaws and limitations, it has been popular with managers because it provides a conceptual means of understanding motivation. By identifying an employee's current position in the hierarchy, the manager has an indication of what motivation would be most effective to use in guiding, counseling and advising the employee to achieve better performance. The hierarchy tells managers that unfilled needs are mere motivating than fulfilled needs, and it points out that the needs can never be satisfied because an individual who satisfied one need immediately begins to try to satisfy another. Managers must realize that need satisfaction is a continuous problem for organisations. Employees will never have all their needs fulfilled, regardless of how hard an organisation tries.

All these studies have been made in the context of employees functioning in US industries; they have their relevance in other contexts. Most of the behavioural patterns of employees in any type of organisation can be handled by leaders who have either innate qualities of leadership or acquired such qualities by experience. In the next section, we shall study leadership along with two other concomitant aspects namely motivation and communication.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with the answer given at the end of this Unit.

7) Name the Studies related to human elements of an organisation.

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15.3.2 Leadership

There is no universal definition for the term 'Leadership'. But most of definitions have the words such as 'influence', 'vision', 'mission' and 'goals'. It is generally found that an effective leader has the ability to influence others in a desired direction and thus able to determine the extent to which both individual employees and the organisation as a whole meet their goals. With a visionary zeal and mission oriented approach, leaders set goals to achieve a target. In fact, Leadership transforms organisational potential into reality.

There is a good body of literature on 'Leadership' and many theories have been expounded on various aspects of leadership but no final word has ever been said about what constitutes leadership which is a very complex idea.

Generally, we can attribute the following qualities to a leader:

In order to be successful, a leader must be a subject specialist with considerable background in other subjects relevant to an organisation, professionally qualified, competent, intelligent, and analytical in sorting out problems. The person should have a sense of fair play, honesty, sincerity, integrity and should be highly responsible. S/he must possess initiative, perseverance, be diligent and realistic in her/his outlook. Human relations skills are a must for a leader. In addition to these qualities, the effectiveness of leader depends upon the person's physical appearance, self-confidence, alertness, and similar others.

An important positive characteristic of a leader is her/his style of leadership. S/he should be democratic, and invite suggestions from subordinates, through discussion, consultation and participation. The leader may take her/his own decisions but the process of taking independent decisions should not appear to contradict her/his democratic approach.

These qualities may appear to be only ideals for a leader and an organisation may not be able to get the services of such a person at its top or lower levels of management. But if an organisation should get such a leader, the organisation's success is more than assured.

Whereas managers are appointed to hold formal positions of authority in an organisation, leaders are not appointed and they do not hold formal positions. The ideal situation, therefore, would be to look for person(s) who is/are manager-leader(s) – two-in-one.

Leadership is not confined to top level managers alone. There may be leaders at middle or lower levels who can also contribute substantially to an organisation growth and development.

Leadership behaviour ensures highly motivated employees who rely upon the leadership skills of their superiors to show them how to achieve their needs of motivation, rewards and ability to perform their allocated tasks reasonably well. Leaders resolve interpersonal differences. Formal systems are simplified and attempts are made to create a more open, reactive organisational environment. The need for leadership qualities turns more towards the ability to get people to interact. The capacity to mediate is very important, and the ability to plan and analyse feedback is emphasised. In fact, a leader should have far greater human qualities than her/his ability to contribute to the acquisition of intellectual and skills of employees.

Self Check Exercise

- Note:** i) Write your answer in the space given below.
ii) Check your answer with the answers given at the end of this Unit.
- 8) What are the qualities of a leader?

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15.3.3 Motivation

Inspiring employees to work as efficiently as possible is an important task of managers in getting things done through them. A motive is a reason for doing something well. Motivation is concerned with factors that influence people to behave in a desirable fashion. The components of motivation may include among others, inspiration, direction, effort, persistence, etc.

Well-motivated people are those who have clear goals and take action that they expect will achieve those goals. There are also people who are self-motivated. The general goals of motivation for people are their aspirations to get some benefit or reward. Although goals or needs may vary or differ from individual to individual, a common aspiration of employees is to get some financial gain, a promotion, or a quality award or reward and such others. For some people working conditions to do their work with reasonable comforts may be a motive to their best. Some others are motivated by health benefits and security of their jobs.

Whatever may be the motive of people to give out their best to the organisation, motivated employees are assets to it. Motivated employees are likely to stay with the organisation and try to achieve their goals along with the goals of the organisation. They accept challenges or changes in work routines more easily than non-motivated employees. The importance of studies and research on motivation is to determine the cause of motivation, techniques and methods of influencing human behavior in the organisation for improving the quality performance of the organisation. This has to be achieved by manager-leaders of the organisation.

Self Check Exercise

- Note:** i) Write the answer in the space given below.
ii) Check your answer with the answers given at the end of this Unit.
- 9) What are the effects of motivating employees in an organisation?

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15.3.4 Communication

Various aspects of communication have also been dealt with in the first two units viz. HRM and HRP of the Block. In this Unit, the focus is on the ways the management communicate with their employees either face-to-face or on telephone or any written form. Face-to-face communication is usually in meetings, special workshops or seminars, whereas written communication is in the form of memo, office orders, instructions, or through in-house publications, newsletters, bulletins and the like. All these communication channels are important as they greatly help the process of HRD.

The figure given below illustrates the forms of communication

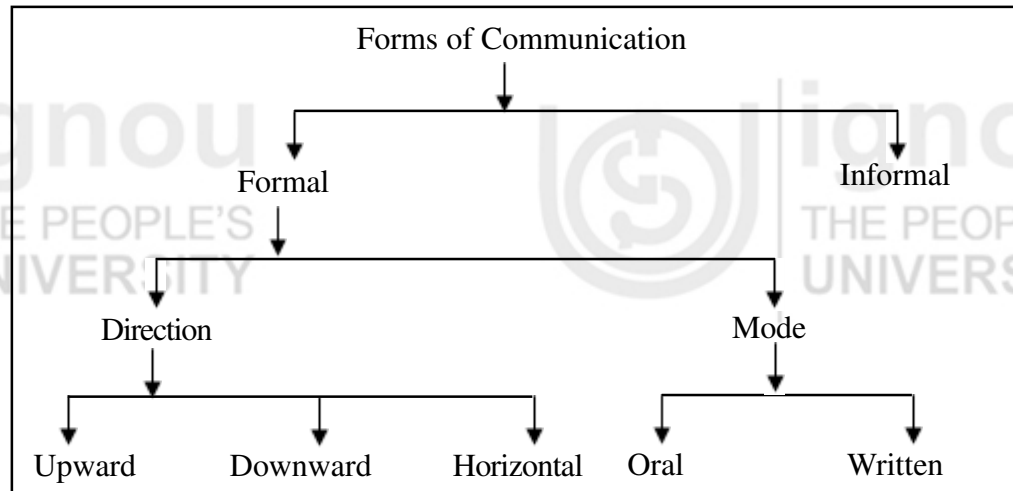


Fig.15.1: Forms of Communication

15.4 MANAGEMENT APPROACH TOWARDS QUALITY

There are quite a few techniques of management towards achieving performance quality of employees of an organisation. In this Unit, four such techniques are mentioned as they contribute to the process of HRD. Two of them namely Participative Management (PM) and Total Quality Management (TQM) relate to team work and the other two, career opportunities deals with individual employees.

15.4.1 Participative Management

Participative Management (PM) has been defined as “both a philosophy and a method for managing human resources in an environment in which employees are respected and their contributions valued and utilised. From a philosophical standpoint, participative management centers on the belief that people at all levels of an organization can develop a genuine interest in its success and can do more than merely perform their assigned tasks.”

PM involves employees in sharing information, making decisions, solving problems, planning projects, and evaluating results. Those who favour greater participation base their belief that the rank and file of employees benefit from having a chance to participate in the governance of the organisation that better decisions are made with involvement and those employees get increased job satisfaction – all these lead to better performance quality. Involvement means that management allows employees to discuss with issues that affect them but

management retains the right to manage. It is primarily management-driven concept. Participation is about employees playing a greater part in the decision making process. It is therefore a concept that employees are given the opportunity to influence management decisions and to contribute to the improvement of organisational performance.

Since participative management pushes decision down to lower levels, the higher level officials need to develop their competence, expertise and experience. In the process of decision making, the participation of employees is considered from various aspects such as:

- What are the systems of participation at present?
- Are people involved in issues that affect them?
- Are they being consulted specifically when a vital decision is being taken (i.e. application of ICT)?

Participative Management being one of the human relations techniques lays emphasis on satisfying a greater proportion of people's needs at work. It is considered conducive to high-staff morale to provide more delegation, to push decision lower down the staff hierarchy and involve staff in setting their own objectives and in evaluating their achievements. PM structures and style create conditions at work which enable staff to their potential, make greater use of their professional training and thus improve the effectiveness of the service offered.

The involvement of staff in decision making process of the organisation and having increased awareness of the organisation's purpose, depend upon two important factors, namely, leadership and organisational style. On leadership, a number of aspects have already been discussed that in participative management the leader's role is not diminished but it is changed in its nature.

Advantages of PM

High Productivity: PM assures high productivity that involvement of staff in the decision making process provides one and all good working conditions, motivation and ability to work and introduce the desired result in time. The outcome is always target oriented to meet goals and objectives of the organisation. It taps the talents, ideas, knowledge and the skills of individuals who might not otherwise be included in the decision making process.

Superior Quality: PM stresses that higher quality decisions that result from better practices. Decisions are found superior especially if the group is composed of individuals of different areas of expertise and a common need for a solution.

Wider Acceptability: Group decisions used to be more readily accepted by the group. Participative decision making is also useful for resolving differences among group members. The decisions are acceptable in all groups or individuals.

Disadvantages of PM

Implementation of the tough decisions taken by the management through participative decision making stalls the entire activities taking the problem from the committee to another committee.

Group Decision Making can be expensive in terms of staff time. A group decision normally takes more time than an executive action. In order to estimate the full cost of participative decision making the decision-making time should be multiplied by the number of persons attending the group meeting.

Lower Quality Decisions are also expected through participative decision making which is not truly effective. If superiors are present or if one member has a dominant personality, the decision of the group may in reality not be a group decision. This can have a lowering effect on group morale and of a negative factor for motivation, making for feelings of frustration and uselessness.

Self Check Exercise

- Note:** i) Write your answers in the space given below.
- ii) Check your answers with the answers given at the end of this Unit.

10) What is participative management?

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11) State the advantages and disadvantages of participative management.

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15.4.2 Total Quality Management (TQM)

“TQM is an intensive, long-term effort directed at the creation and maintenance of the high standards of product quality and services expected by customers. As such, it can operate as a major influence in developing the culture and processes of the organisation. The object is significantly to increase the awareness of all employees that quality is vital to the organization’s success and their future. The business must be transformed into an entity that exists to deliver value to customers by satisfying their needs.” (Armstrong, 2004)

It is obvious from the above description of TQM is fully focused on customers. It is equally important to note that TQM is a team work and everybody involved in TQM must have a common objective. It offers an approach to an organisation to design processes, policies and jobs so that they are the best, most effective methods for serving customers’ needs, eliminating inefficiencies and assuring quality service. TQM is an important strategic management tool and also a philosophy accentuating a systematic approach with strong internal and external customer orientation. Apart from the division that is directly involved in customer services, all the back up functions and behind the scene activities also must be guided and directed by the ultimate goal of customer satisfaction.

TQM is also relevant to HRD strategic planning and operation because the knowledge and skills required for customer service have to be learnt thoroughly and executed effectively.

For libraries and information institutions, the user is the customer. User's satisfaction is uppermost in organising every service in a library.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check your answer with the answers given at the end of this Unit.

12) What is TQM?

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15.4.3 Career Opportunities

Career opportunities is discussed in this Unit mainly because it is the most important factor that determines the motivation of quality employees to stay in the organisation and offer their best to it. It is this perception of the employee that s/he has every opportunity to rise and reach higher positions in the organisation, serves as an incentive. This assurance make them acquire new knowledge and skills voluntarily, go through formal and informal training with a sense of dedication and devotion, perfect their already acquired skills and look forward to their personal growth, both in terms of financial benefit and emotional satisfaction. The best among the employees has every chance to reach the top management levels and the average employee may rise to the middle management levels. This motivating factor can never be underestimated.

In India there is the provision for such career opportunities for employees in most organisations, both in governments and private services. For library and information personnel who are functioning at universities and research organisations as well a public and private enterprises such opportunities are there. But the HRD planning and policies as discussed in this Unit may not be in existence. All the same, the provision for career opportunities itself is sufficient incentive to work efficiently and performance quality.

With pensioner benefits, gratuity and provident fund provisions, there is enough incentive for employees in most organisations to enthuse themselves to learn new knowledge and skills to give out their best to the organisation.

15.4.3 Health and Safety

Health and Safety are the most important aspects of human resources management. It is the only healthy persons and safe working conditions for them that could ever be create valuable assets of any organisation. Merely the number of persons functioning in an organisation cannot make for human resources. While some provisions are there in most organisations for medical facilities, working conditions for health safety cannot be deemed to be there in many organisations. It is only the healthy employees who could benefit from any HRD plan. Particularly with increasing use of computers in every organisation, the working

facilities do not match with prescribed standards in terms of furniture, illumination and other hazards of using the ubiquitous computers. This aspect needs a lot of attention, particularly in libraries and information institutions.

15.5 HUMAN RESOURCE DEVELOPMENT IN LIBRARIES AND INFORMATION INSTITUTIONS

All the foregoing account on the process of HRD is applicable to libraries and information institutions in India. But libraries have no independent status as they are part of their parent bodies. These parent bodies such as academic institutions (Universities, Colleges, Big Public Schools) have personnel departments who have policies for personnel management, but they do not function as HRD departments as described in this Unit. Unless there is a change towards HRD philosophy, Libraries cannot have any exclusively HRD policy and program for their staff.

We have mentioned in Unit 13, the type of library and information service professionals who may have to work in these institutions in the ensuing decades and later. To recapitulate the main points here, the professionals who may have to work in these institutions will have to be a blend of several skills:

- Subject specialisation with considerable skills to pick up;
- knowledge in allied subjects relevant, to provide services;
- Considerable expertise in computer knowledge and skills;
- Communication abilities, both oral and written at a high level;
- Management skills to handle a complex organisation;
- Human qualities of leadership;
- Vision and perspectives to plan for the future.

As stated in Unit 13, professionals with the all-round skills will not be easily available. It is the HRD processes that must be able to build up the human resources required, filling up gaps and making a complement of staff to deal with high level professional services, expected from customers/users. The credibility of the profession and its public image must be considered important and essential.

Self Check Exercise

Note: i) Write your answer in the space given below.

ii) Check you answer with the answers given at the end of this Unit.

13) What should the nature of LIS professionals of the future libraries and information institutions?

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15.6 SUMMARY

In this Unit, we have focused on the various aspects of Human Resource Development. Several types of competencies and capabilities have to be built up to deal with professional services high quality expected or required of future libraries and information institutions. These include intellectual and human capital which could be obtained with various processes of learning.

This should be done with HRD strategic planning and operation. Learning is a continuous process. HRD processes for learning are explained in some detail in this Unit, including self learning through Internet, world wide web and intranet within the organisation. In addition to the intellectual and several other technical and technological skills, the human elements of the organisation are to be given equal attention. These include leadership qualities, motivation, communication and handling a variety of psychological and behavioral patterns. Management techniques in team work like participative management and total quality management are discussed in detail. Scope for career development, health and safety aspects in organisations are pointed out as essential to develop a strong and healthy staff who would be in fit conditions to absorb and assimilate all the HRD processes of learning and training and other aspects of human elements. All these aspects of study of HRD are considered in relation to the future of Libraries and Information Institutions. The credibility and public image of the profession would be at stake, if these aspects are overlooked.

15.7 ANSWERS TO SELF CHECK EXERCISES

- 1) HRD concept is concerned with the provision in an organisation, for learning, development and training opportunities in order to improve individual, team and organisational performance. HRD is essentially a goal and target oriented activity, constantly endeavoring to update and tune its human resources to advance in knowledge and skill, to meet all the requirements of a growing organisation.
- 2) Strategic HRD aims to produce a coherent and comprehensive framework for developing the human resources of an organisation. Much of HRD process will be geared to providing an environment in which employees are encouraged to learn and develop. HRD activities may include traditional training programs but emphasis is much more on developing on intellectual capital and promoting organisational team and individual learning. It also deals with self-development and more particularly with all the human elements of an organisation.
- 3) HRD philosophy serves to work out plans and strategies not only to development of intellectual faculties of human resources, self-development but also all the human elements of an organisation.
- 4) The key elements of HRD is to develop the intellectual knowledge, various technical skills of the human resources and aid self-development in all its dimensions. The intellectual, knowledge and skill developments are acquired through learning, formal education, training and self-development with Internet facilities and intranets of the organisation.

- 5) Here learning includes all the types formal and informal learning mentioned above. The whole program of learning, training, education, etc. can be effective only on the following conditions:
- Learning, education, etc. are all very active processes. Persons undergoing these must be totally involved, dedicated and devote.
 - Individuals ought to be motivated externally or self-motivated; the latter is likely to yield much better results.
 - Effective learning is likely to be achieved if learners have learning goals and oriented towards their own roles in the organisation.
 - Learners need a sense of direction and feedback on how they are doing. Self-motivated individuals may provide much of this by themselves, but learning facilities should still be available to encourage and help when necessary.
 - Learners must have the satisfaction in what they learn. They should feel that they are gaining something which will be very useful in their work.
 - Written course material should be provided in any process of learning. The course methodology should use all modern presentation methodology.
 - Learning requires time to assimilate, test and acceptance. This time should be provided in the learning program.
- 6) “E-learning is learning or training that is delivered by electronic technology. It makes use of the internet and world wide web, and intranet within the organisation. The aim is to enhance self-learning. It extends and supplements face-to-face learning rather than replace it.”
- 7) “E-learning is learning or training that is delivered by electronic technology. It makes use of the Internet and world wide web, and intranet within the organisation. The aim is to enhance self-learning. It extends and supplements face-to-face learning rather than replace it.”
- 8) In order to be successful, a leader must be a specialist with considerable background in other subjects relevant to an organisation, professionally qualified, competent, intelligent, and analytical in sorting out problems. The person should have a sense of fair play, honesty, sincerity, integrity and should be highly responsible. S/he must possess initiative, perseverance, be diligent and realistic in her/his outlook. Human relations skills are a must for a leader. In addition to these qualities, the effectiveness of leader depends upon the person’s physical appearance, self-confidence, alertness, and similar others.
- 9) Motivated employees are likely to stay with the organisation and try to achieve their goals along with the goals of the organisation. The accept challenges or changes in work routines more easily than non-motivated employees. The importance of studies and research on motivation is to determine the cause of motivation, techniques and methods of influencing human behaviour in the organisation for improving the quality performance of the organisation.

10) Participative management (PM) is both a philosophy and a method for managing human resources in an environment in which employees are respected and their contributions valued and utilised. From a philosophical standpoint, participative management centers on the belief that people at all levels of an organisation can develop a genuine interest in its success and can do more than merely perform their assigned tasks.

11) The advantages of participative management are:

- More productivity
- Superior Quality
- Wider Acceptability

The disadvantages of participative management

- Implementation
- Expensive group decision making lower quality decisions

12) PM is an intensive, long-term effort directed at the creation and developing the culture and processes of the organisation. The object is significantly to increase the awareness of all employees that quality is vital maintenance of the high standards of product quality and services expected by customers. As such, it can operate as a major influence in to the organisation's success and their future. The business must be transformed into an entity that exists to deliver value to customers by satisfying their needs.

13) The future LIS professionals should have a blend of the areas given below:

- Subject specialisation with considerable skills to pick up;
- Knowledge in allied subjects relevant to providing services;
- Considerable expertise in computer knowledge and skills;
- Communication abilities, both oral and written at a high level;
- Management skills to handle a complex organisation;
- Human qualities of leadership; and
- Vision and perspectives to plan for the future.

15.8 KEYWORDS

Communication : Interpersonal communication between the management and employees as well as among the employees through various mechanisms.

E-Learning : “E-Learning is learning or training that is delivered by electronic technology. It makes use of the Internet and World Wide Web, and intranet within the organisation. The aim is to enhance self-learning. It extends and supplements face-to-face learning rather than replace it.”

Human Resource Development (HRD) : A process of helping employees an organisation acquires new knowledge, skills and competence on a continuing basis.

Intellectual Capital

: Consists of the stocks and flows of knowledge available in an organisation, including many intangibles, such as goodwill, corporate image and brand.

Leadership

: A leader must be a subject specialist with considerable background, professionally qualified, competent, intelligent, and analytical in sorting out problems. The person should have a sense of fair play, honesty, sincerity, integrity and should be highly responsible. S/he must possess initiative, perseverance, be diligent and realistic in her/his outlook. Human relations skills are a must for a leader. In addition to these qualities, the effectiveness of leader depends upon the person's physical appearance, self-confidence, alertness, and similar others.

Learning

: Learning includes all the types of formal and informal learning, training, and education.

Motivation

: Is the process of encouraging people to apply their efforts and abilities that will further the achievement of the organisation's goals and objectives.

Participative Management: Is an intensive, long-term effort directed at the creation and developing the culture and processes of the organisation. The object is significantly to increase the awareness of all employees that quality is vital maintenance of the high standards of product quality and services expected by customers. As such, it can operate as a major influence in to the organisation's success and their future. The business must be transformed into an entity that exists to deliver value to customers by satisfying their needs.

Strategic HRD

: A skilled method of providing means mechanisms and structural elements to streamline organisational work of HRD.

Theory X

: A set of assumptions about people that Mc Gregor felt were the basis for most management principles. He felt that behind every management decision, there is a set of assumptions that a manager makes about human behaviour. The theory X manager assumes that people are lazy, dislike work, want no responsibility and prefer to be closely supervised/directed coupled with job security.

Theory Y

: Theory Y assumes that people do not inherently dislike work, seek responsibility, like to work, are committed to doing good work if rewards are

received for achievement and will exercise self-direction and control in their tasks if they are committed to their accomplishment.

Total Quality Management (TQM) : Team work to establish and maintain quality standards in work

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