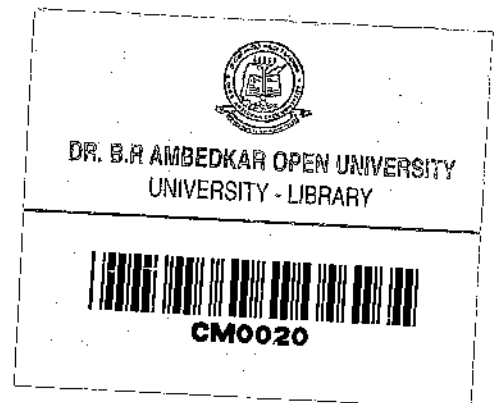
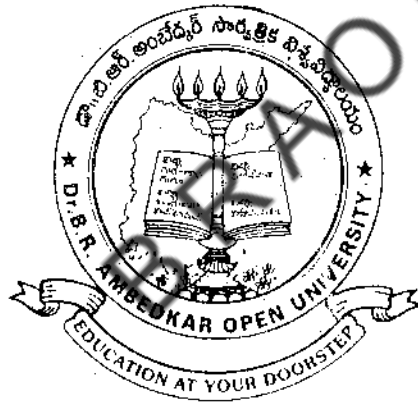


# LIBRARY MANAGEMENT



Dr. B.R. AMBEDKAR OPEN UNIVERSITY  
Hyderabad  
1994

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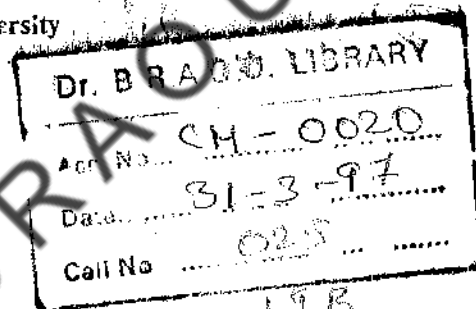
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## **COURSE-2 LIBRARY MANAGEMENT**

The book deals with the topics in Library Management included in the syllabus for the Bachelor of Library and Information Science (BLISc) Programme of Dr. B.R. Ambedkar Open University. These topics cover the core area of the subject.

The course material, first published in 1985, has been updated and revised in the present book in accordance with the self-instructional format and house-style of the University. The syllabus for the sake of convenience has been divided into blocks and units. Each unit covers a specific area of the subject. Units covering a related area are grouped together as blocks. There are 20 units in this course, which are grouped into five blocks.

The units are prepared by specialists in accordance with a format so designed to enable the learners to read and understand them without much difficulty. Each unit begins with a statement of its aims and objectives followed by an introduction to the content. Self-check exercises have been included in the text which are intended to test the learner's comprehension.

The library management is important from the learner's point of view because the course covers the day to day library routines of all the sections of the library and gives a complete insight into the working of a library. In addition the type of records, charts and proformas with their specimens gives a picture of what types of records are to be adopted in different libraries.

The library practices covered in this book are applicable to majority of libraries as the units deal with fundamentals. The units spell out theoretical principles and also practical solutions. In few special libraries and documentation/information centres the management process may slightly differ, however, they are indicated at appropriate places to the extent possible.

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## CONTENTS

BLOCK/ UNIT NO.	TITLE	PAGE NO.
<b>BLOCK-I</b>	<b>: MANAGEMENT PRINCIPLES</b>	
Unit-1	: General Principles of Management	6
Unit-2	: Application of Management techniques to library operations	33
<b>BLOCK-II</b>	<b>: LIBRARY PLANNING &amp; ORGANISATION</b>	
Unit-3	: Library Building	43
Unit-4	: Library furniture and equipment	55
Unit-5	: Organisational structure of libraires	69
<b>BLOCK-III</b>	<b>: LIBRARY GOVERNANCE</b>	
Unit-6	: Library committees	82
Unit-7	: Library rules and regulations	94
Unit-8	: Personnel management in libraries	111
Unit-9	: Financial management in libraries	125
Unit-10	: Library statistics	144
Unit-11	: Preparation of annual reports	164
<b>BLOCK-IV</b>	<b>: COLLECTION DEVELOPMENT</b>	
Unit-12	: Book selection principles, theories & procedures	176
Unit-13	: Book selection tools	194
Unit-14	: Acquisition procedures	208
Unit-15	: Book publishing and book trade in India	221
Unit-16	: Processing of book - physical & technical	234
Unit-17	: Serial control & management	248
<b>BLOCK-V</b>	<b>: CIRCULATION AND MAINTENANCE WORK</b>	
Unit-18	: Circulation - work & methods	283
Unit-19	: Collection maintenance - Shelving, stock verification, weeding.	311
Unit-20	: Binding and preservation	340

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## **BLOCK-I : MANAGEMENT PRINCIPLES**

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Like any big organisation or large administrative unit, managing a big library is a specialised and complicated task and requires managerial skills. Management of a modern library requires not only managerial ability of the highest order but also a highly cultured and sophisticated skill to solve multi-dimensional problems of a library. The art of managing a library is not merely taking care of books but also furnishing information of a specialised nature. To organise and administer libraries of today is not merely a matter of commonsense but it requires as much ability, skill and knowledge like any other big organisation. The present block discusses the general management principles and their application to libraries. There are two units in this block.

Unit-1 : General principles of management

Unit-2 : Application of management techniques to library operations

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A variety of budgeting techniques are available to library managers for budgeting such as line-item budgeting, lumpsum budgeting, formula budgets, performance budgeting, programme budgeting, planning programming budgeting system (PPBS), zero-based budgeting (ZBB), etc. You will learn about these techniques in unit 9.

### Self-check Exercise-3

What does the acronym POSDCORB stand for ?

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

ii) Compare your answer with the model answer given at the end of this unit.

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## 1.8 PRINCIPLES OF MANAGEMENT

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Principles of management are generalisations suitable for universal application and formulated on the basis of human experience and detailed examination of case studies. The application of these principles should be done after thorough analysis and diagnosis of the problematic situation in the organization. For their proper use, the manager has to utilise his knowledge of human behaviour, intelligence, judgement skills and previous experience. These principles are flexible in the sense that they can be profitably adapted to any changes in the work situation.

As we have already seen in section 1.4.1, it was Henri Fayol, the father of classical school of management thought, who formulated, for the first time, the following set of 14 principles of general administration. These principles, which are still relevant even today, will be explained in this section.

- i) Division of work.
- ii) Authority and responsibility.
- iii) Discipline.
- iv) Unity of Command.
- v) Unity of direction.
- vi) Subordination of individual interest to general interest.
- vii) Remuneration of personnel.
- viii) Centralization.
- ix) Scalar chain.
- x) Order.
- xi) Equity.
- xii) Stability of tenure of personnel.
- xiii) Initiative.
- xiv) *Esprit de Corps*.

Reporting may be done either in **written form** (staff manuals, notices, memos reports, staff diaries, etc.) or **verbal form** (telephonic talk, personal talk, meetings, etc.). Particularly in large libraries, most of the reporting is in written form.

If an organization wishes to report to the people, then it has to utilise the public relations techniques. **Public relations** helps the library to improve its image among the people. It is regarded as a management function which attempts to gauge public attitudes, identifies policies and procedures of an individuals or an organization which have a bearing on public interest, and implements an action programme to obtain understanding, support and goodwill of the public.

No responsive manager can afford to ignore staff reporting. The librarian should ensure that every member of the staff is well informed about the functioning, programmes, progress and problems of the library. This can be done in a variety of ways such as annual reports, newsletters, notices, conducting question and answer sessions, staff meetings, staff handbooks and manuals, circulars, etc.

Apart from reporting from top to down (from librarian to lower level staff), the library should provide for reporting from down to above also.

**Examples :**

- i) Progress report of a project assigned to a department in the library.
- ii) Reporting of a case of theft in the library.
- iii) Office diaries.

With the help of reports received from various sections, the librarian can undertake an evaluation of library services and procedures.

### **1.7.7 Budgeting**

Budget is the document which provides item-wise estimates of expected income and expenditure during a future period. Generally, library budgets are prepared at annual intervals. It is regarded as an effective management tool. It enables the library to restrict its expenses to the available income. Also, it helps in utilisation of its financial resources in an organised way, that is, the expenditure can be incurred in a planned manner.

Budgeting is the process of preparation of budget. It is done keeping in view the objectives of library in mind. It enables implementation of the adopted plans. It offers an opportunity to review/evaluate the various library programmes, thereby acting as an important control device. The chief librarian has to identify the growing or new needs of the users' and provide adequate financial resources to meet them. He plays a key role in the preparation of budget.

The factors which need to be considered at the time of budgeting include:

- Strength of library collection, readers and staff.
- variety of services offered.
- categories of users.
- impact of inflation.
- location and organization of various sections/departments.
- period of budget coverage.

etc. Proper care should be taken to see that these are drafted in clear and unambiguous manner. This is essential for giving proper direction to staff members. As for oral communication, it may be either through formal staff meetings and training programmes or informally through interpersonal contacts.

### **1.7.5 Coordinating**

For the successful running of an organisation, coordination is most essential. It is a vital management function. The management should coordinate individual efforts of all staff members in such a harmonious manner so as to achieve the organizational goals. Even in cases where there are personal conflicts and differing interests, steps should be taken to clear the bottle-necks and attain the goals.

Coordination is the process of establishing and maintaining interrelationships among the different sections/departments of an organization so as to streamline their operations for the overall good of the organization. It involves constant adjustment of different sections of an organisation to ensure that the various procedures/activities contribute to the organization to a maximum degree.

As organizations grow in size, coordination assumes greater importance. It is to be remembered that coordination is possible through voluntary cooperation involving interpersonal relationships. Coordination is of such significance that it pervades all aspects of management of an organization.

Let us study an example from library situation to understand the importance of coordination. As you know, the periodicals section of the library handles subscriptions for periodicals. It records the periodicals received in the library and sends them to the documentation section for indexing. In the documentation section, the contents of periodicals are scanned, index cards prepared and then the periodicals are returned to the periodicals section. As we can see, the periodicals section and documentation section are interrelated. Periodicals section serves as a feeder to the documentation section by supplying the latest issues of periodicals received by it. If there is no proper coordination between these two sections, then the documentation service of the library is likely to suffer. Suppose if the periodicals section does not send the new periodicals promptly to the documentation section, then the coverage of the documentation service will not be comprehensive. On the other hand, if the documentation section does not return quickly the new periodicals to the periodicals section after indexing, it will lead to complaints from readers. All such problems could be easily solved by coordinating the work of both these sections in a proper manner.

### **1.7.6 Reporting**

Communication is the life blood of an organization. Reporting is an important component of communication. It assists the managers to keep themselves better informed and enables them to take correct decisions. Also, reporting enables the managers to inform the higher authorities about the functioning, achievements and future needs of the organization.

Take for example the case of a university librarian. He submits reports to higher authorities such as library committee or registrar so as to inform them about the activities, progress and needs of the library. In addition, he also makes it a point to keep the staff working under him informed about the library activities, programmes, policies, etc. It should be noted that reporting may occur at many points in the library hierarchy, not just at the top. The basic aim of reporting is to build bridges of understanding.

- takes care of the current as well as future needs for staff.
- covers all categories of staff managers, professionals, supporting (administrative as well as technical) staff and para professionals.

The major elements of staffing process include, among others,

- adoption of efficient recruitment and selection procedure.
- providing for appropriate classification of various staff positions and suitable remuneration.
- proper placement of staff on various sections.
- offering scope for staff training and improvement of educational qualifications.
- adoption of a fair policy for transfers and promotions.
- healthy management - worker relations.
- provision of sufficient retirement benefits such as gratuity, pension, etc.

It is relevant to mention briefly the two techniques that are utilised in staffing: job analysis and job description.

**Job analysis** seeks to collect relevant information regarding the nature (that is operations and responsibilities) of a specific job through such techniques as observation, questionnaires and diary method, etc. It finds out the tasks that constitute a job and also identifies the abilities, skills, knowledge and kind of experience required for performing the job.

**Job description** states in clear terms the duties and responsibilities of a particular job. It also indicates, among others, the position of the job in the total hierarchy, that is, the subordinate staff to be managed, the person to whom he should report and other posts at the same level.

Managers at all levels should have thorough understanding of the philosophy, policies and procedures relating to the staffing programme of their organization. This is essential for its successful implementation. Also, staffing programme can be evaluated by the management at periodic intervals to make necessary changes.

#### 1.7.4. Directing

Directing is a management function which is performed constantly and it involves

- decision-making.
- translating the decisions into official orders - both general and specific.
- serving (issuing) these orders.

In a library, the chief librarian or his subordinate officers are constantly engaged in the process of direction. They issue a variety of orders which specify the policies, procedures, permissible modes of conduct behaviour, etc. relating to the library.

Directing is a challenging task for the library manager. It seeks to accomplish tasks with the help of persons, either individually or collectively. Directing aims to lead and motivate the staff--the human resource--to contribute its best to the organization. Another major aim of directing is to achieve control over the library staff. This is done by insisting that the performance of various library activities should conform to a predetermined standard of efficiency and quality.

The function of directing is not just limited to the top management only. Actually, it pervades at all supervisory levels in the whole organization. Proper directing demands good interpersonal communications skills - written as well as oral. Written communications take the form of office memos, letters, reports, directives, policy statements, staff manuals, work manuals,

At the time of designing a suitable organizational structure for a library, the library management has to take into consideration various factors such as the library's objectives, users served, nature of documents, type of library building, library staff, extent of automation, financial resources, etc.

Libraries may be organized in any of the following ways:

- i) **Functional arrangement** (according to various library functions such as acquisition, technical, reference service, maintenance, circulation, etc.)
- ii) **Subject arrangement** (humanities section, social sciences section, pure and applied sciences section, etc.)
- iii) **Arrangement by area** (This is done on the basis of area to be served by the library. For example, branch libraries of public libraries are established taking into consideration the area to be covered.)
- iv) **Arrangement by persons served** (children's section, women's section, braille section, etc.)
- v) **Arrangement by materials** (books section, periodicals section, United Nations publications section, non-book materials section. etc.)

In India, the functional arrangement is the most popular one among the central libraries of university libraries. In addition to this, university libraries operate departmental libraries organised on the basis of subjects.

Library's organisational structure should not be rigid. If the objectives of the library are modified, then its structure may also require certain changes to suit the changed conditions. It is better to adopt centralisation in the area of acquisition (except book selection), technical processing (classification and cataloguing), and decentralisation in the area of book selection and services.

### 1.7.3 Staffing

This is regarded as the personnel function of the management. It is mainly concerned with two aspects:

- i) recruitment of staff and their suitable training to meet the requirements of the organisation; and
- ii) creating and maintaining an environment which is conducive to the performance of variety of tasks by the employees.

The staffing programme of an organisation should strive to attract bright talent in sufficient strength, who can translate the objectives of the library into reality. The work environment should motivate the employees to give out their best.

Staffing is considered as a vital function for any organization since it is the staff which make or mar an organization; that is, the success of any organization depends mainly on the quality of its employees.

For carrying out staffing function properly, the management should prepare a staffing programme which

- states in clear terms the personnel policy of the organization.

It is always concerned with the future; it tries to anticipate the future problems and prepare contingency plans to meet the crisis situations. It is a continuous process that occurs at all levels in the library. Planning attempts to utilise the knowledge of the past and present with a view to predict the future events in similar situations.

The two broad categories of plans are:

- **Short-range plan:** Its period of coverage is up to five years.
- **Long range plan:** Its period of coverage is beyond five years.

If a library has both short range and long range plans, then these two should be properly interlinked and coordinated. In other words, the short range plans should be consistent with long range plans. Often, the long range plans are broad in scope and function as an umbrella for the short range plans.

#### Steps in Planning:

Harold Koontz and Cyril O'Donnel in their work, *Essentials of Management* (2nd ed. New Delhi: Tata McGraw-Hill, 1980), had outlined the various steps of planning process as follows:

- Establishment of planning objectives.
- Establishment of planning premises. (Premise is an assumption about the environment - both external and internal - in which the plan is expected to be executed.)
- Search for and examination of alternative courses of action.
- Evaluation of alternative courses of action.
- Selection of course(s) of action.
- Formulation of derivative plans. (Derivate plans are formulated with an idea to offer support to the main basic plan.)
- Numberizing the plan by budget.

Plans allow us to have control over a situation. They act as a standard, with the help of which we can identify any deviation and take corrective steps. For effective control, planning is a must.

As already stated, planning is done at all levels in a library. While the top management formulates plans covering the entire library and linked with its objectives, the lower level management prepares plans pertaining to a department/section.

As for the evaluation of plans, it can be done on the basis of their efficiency in realising the objectives. We should take into account both the cost of preparing a plan and the cost of implementing it. In libraries, it may be difficult to estimate the cost of implementing a plan. For proper evaluation, the library manager should have thorough knowledge and experience in the concerned area. Evaluation of plans is regarded as a part of control process which no manager can afford to ignore.

#### 1.7.2 Organizing

This is the second step following the planning stage. It may be defined as the process of creating a formal structure of authority. This formal structure of authority should be clearly defined and properly coordinated for the realisation of organization's stated objectives. As you are aware, an organization fulfils its objectives through the combined contributions of a number of employees working in its various departments/section.

v) **Correlation:** The proper correlation of not only different sections in a library but also performance of different staff members of the same section should be ensured.

vi) **Time Scheme:** There must be well thought-out time limits for various jobs. Jobs may be classified on the basis of their periodicity such as immediate, hourly, causal, daily, weekly, monthly, quarterly, annual, etc.

vii) **Forms and Registers:** Properly designed forms serve as effective tools. They not only simplify and control the work but also result in savings of time and money. Forms should be so designed that the stated purpose is accomplished with minimum effort and economic use of materials.

viii) **Files:** The general efficiency of an organization depends mostly on the efficiency of the filing system adopted by it. Dr. Ranganathan regards filing as a very important work in library office.

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## 1.7 ELEMENTS OF MANAGEMENT

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L. Gulick and L. Urwick had presented a list of elements of management process in their famous paper, namely, *Papers on the Science of Administration* (New York: Columbia University Press, 1937). These may be regarded as the functions of management. They are:

- Planning
- Organizing
- Staffing
- Directing
- Coordinating
- Reporting
- Budgeting

They coined the acronym POSDCORB to refer to these functions. It is to be noted that the management process need not always proceed in the order mentioned above. The order of these steps may vary depending upon the time and conditions. The distinctive feature of POSDCORB is that it helps us to identify the objectives of manager's work. However, it does not describe his work. Also, it tries to show us what a good management aims to achieve.

Let us discuss each of the above elements of management in detail.

### 1.7.1 Planning

Planning, the most basic of all functions of management, is a critical element in the success or failure of an organization. We may regard planning as a rational approach to realisation of previously established objectives.

Plan is a statement of the projected course of action. It involves taking crucial decisions regarding the things to be done and the methods to be adopted for the same.

Planning helps us to coordinate the various activities of the library towards realisation of predetermined objectives. A good plan offers proper direction for all library activities so that various sections function in one common direction.

A plan states in clear terms the future activities proposed to be taken up, the persons who will be responsible for them and the time when these activities should be performed.

Planning is an intellectual work of high order requiring reflection, imagination and foresight.

iii) **Work Methodology:** It implies adoption of improved work methods based on time and motion studies, standardisation of tools, etc.

iv) **Maximum Profits:** This principle lays down that the organisation should be operated most efficiently so as to attain maximum production for owners and maximum prosperity for staff.

v) **Incentive Wage System:** It states that suitable incentives should be given to efficient workers so as to encourage them to aim for still higher level of production.

vi) **Complete Harmony:** This principle enjoins that the nature of the relationship between management and workers should be most harmonious and cooperative.

Scientific management can be usefully applied to various library jobs, which could be easily analysed, such as classification and cataloguing, book ordering, filing cards, charging and discharging, duplicate checking, reproducing catalogue cards, shelving of books, etc. One of the important limiting factor for the application of scientific management method is that it can be applied to only such jobs which permit proper analysis.

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### 1.6 Dr. S.R. Ranganathan's Contribution to Scientific Management

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Dr. S.R. Ranganathan made significant contribution to the practice of library management, though formulated over half a century ago, are still relevant today. They provide useful guidelines to the practical aspects of library management. Dr. Ranganathan has categorised the functions of management into eight groups:

- planning
- job analysis
- routine
- elimination of waste
- correlation
- time scheme
- forms and registers
- files

i) **Planning:** If planning is based on functions and adapted to the needs of particular library taking into account organizational principles, then it is likely to give best results. The first step in planning consists of analysing and isolating different functions to be performed by the staff. Then, the available staff can be allotted to the different sections for discharging various functions.

ii) **Job Analysis:** Job refers to an ultimate piece of work which is best done at a single stretch and whose duration is ordinarily short. A number of related jobs constitute an item of work.

A careful analysis of work into jobs should be done. A job sheet giving details of the steps necessary to complete the job should be given to the individual doing the job.

iii) **Routine:** It refers to those regular and repetitive duties which are required for administrative purposes. To adopt scientific management, the librarian has to do considerable thinking, planning, analysis and recording of details of procedure.

iv) **Elimination of Waste:** Scientific management demands that in routine work utmost care should be taken to eliminate wastage of human resources (both mental and physical), materials, space and time.

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b) List the types of activities in an organization as stated by Henri Fayol.

## 1.5 SCIENTIFIC MANAGEMENT

Scientific management is the application of principles and methods of modern science to problems of administration. One of the basic principles of scientific management is distribution, or rather decentralization, of responsibility. As we have already seen in section 1.4.1. Frederick Winslow Taylor is regarded as the father of scientific management. The underlying principles of Taylor are:

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

### Uses of Scientific Management

#### Scientific management

- assists in improving efficiency and increasing production.
- offers a scientific method for wage fixation of workers from time to time on the basis of production.
- enables us to decide whether to go in for rationalisation or not in an organization.

### Features of Scientific Management

The characteristic features of scientific management are:

- i) **Job Analysis:** It involves determination of jobs and their analysis into independent sub-jobs. Care is taken to see that there is no overlapping of various jobs.
- ii) **Division of Labour:** This identifies the duties of staff operating at various levels.

The leading proponents of this school include, among others, Chester Barnard (who analysed Contribution-satisfaction equilibrium), Peter Drucker (who introduced the Management by Objectives, MBO in 1950s), Douglas McGregor (who formulated "Theory Y") and Abraham Maslow (who developed "Need Theory").

### 1.4.3 Decision Theory Schools

They examine management taking into account the decision-making process. Their major interest is study of procedures of rational decision-making and how managers take decisions in actual real-life situations. According to this school, management can draw profitably from the available mathematical models and quantitative techniques.

#### Historical Periods of Management

According G. Edward Evans, the development of management history can be divided into the following four periods:

- Prescientific Period, Pre-18880
- Scientific Management Period, 1880-1927
- Human Relations Period, 1927-1950
- Synthesis Period, 1950 -present

#### Theoretical Base of Modern Management

General Systems Theory (GST), developed by Ludwig von Bertalanffy, forms the widely accepted theoretical base of modern management. GST attempts to integrate knowledge from various sciences - biological, physical and behavioural into a single system. System is a group of elements which are interlinked or interdependent, and together constitute a whole. It is to be noted that the various elements of a system are not only inter-related among themselves but also with the outside environment.

Consider the library as a system. It is composed of various subsystems such as acquisition, circulation, processing, etc. Library staff members, materials and finance make up the elements of this system and its subsystems.

#### Types of Activities in an Organization

Drawing from his rich experience of managing a variety of industrial organizations, Henri Fayol, the French industrialist, was able to categorise the activities of an organization into the following six basic groups:

- Technical or production
- Commercial (buying, selling and exchanging goods)
- Financial (search for, securing of and efficient use of money)
- Security
- Accounting (including statistics and record keeping)
- Managerial (planning, organization and control)

#### Self-Check Exercise - 2

a) What is the characteristic feature of scientific management school?

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

ii) Compare your answer with the model answer given at the end of this unit.

- ii) Authority and responsibility
- iii) Discipline
- iv) Unity of command
- v) Unity of direction
- vi) Subordination of individual interest to general interest
- vii) Remuneration of personnel
- viii) Centralization
- ix) Scalar chain
- x) Order
- xi) Equity
- xii) Stability of tenure of personnel
- xiii) Initiative
- xiv) *Esprit de Corps*

We shall discuss all these principles of administration in detail in section 1.8.

### (3) System School

Max Weber, who researched on structure of authority in complex organizations, underlined the importance of specialization in an organisation and the hierarchy involved in decision-taking. He examined the nature of authority and laid stress on the responsibility of the 'office' instead of the individual.

Luther Gulick of U.S. identified the managerial functions and coined the acronym POSDCORB to denote them. POSDCORB stands for planning, organizing, staffing, directing, coordinating, reporting and budgeting. We shall examine these functions in much more detail in section 1.7.

## 1.4.2 Human Relations Schools

These schools, which were developed mostly by sociologists and psychologists, lay heavy emphasis on interpersonal relations, as managing is "getting things done through people". Instead of merely viewing people as work units, it seeks to study them as human beings. Its major concern is the individual and the informal groups in the formal organization.

### (1) Human Behaviour School:

The underlying philosophy behind this school is that if the management takes care of happiness of employees, then it would be possible to achieve increased production. Behaviour of the individual, the group and the organization forms the main focus of study of this school. The major concerns of this school are interpersonal relations, leadership, group dynamics and staff motivation.

One of the major contributors to this school is Mary Follett, who examined the management from sociological and psychological point of view and identified "coordination" as the critical factor in the management process.

### (2) Social System School:

The major characteristic features of this school are:

- encouragement of employees to build up social groups in the work place.
- provision for participation of employees in management process.
- adoption of democratic style in the functioning of the organization.

## 1.4 SCHOOLS OF MANAGEMENT THOUGHT

It is mainly in the present twentieth century that the systematic study of management as a distinct branch of knowledge has begun. In course of time, a few schools of management thought have evolved. According to Prof. Krishan Kumar (*Library Administration and Management*, p. 12), we may categorise these schools of management thought into three broad groups:

- 1) **Scientific Schools:** These comprise of scientific management schools, classical or traditional or universalist school and system school.
- 2) **Human Relations Schools:** These comprise of human behaviour school and social system school.
- 3) **Decision Theory Schools**

Let us have a brief introduction to these various schools so as to have an idea of the development of management thought. Also, this knowledge would provide us a good perspective of the schools of management and help us to understand better the principles of management which we are going to discuss in section 1.8 of this unit.

### 1.4.1 Scientific Schools

#### (1) Scientific Management School

According to this school, workers are economically motivated and they work to a maximum degree if their work efforts are linked with material rewards. This school aims to achieve maximum production with minimum efforts through avoidance of waste and inefficiency at the factory level.

It was in 1910 that the concept "scientific management" was first used by Louis Brandeis during his statement before the Interstate Commerce Commission. Frederick Winslow Taylor of U.S, who made outstanding contribution in this area, is revered as the father of scientific management school. He was a staunch advocate for the adoption of scientific method and in all his writings he stressed on the importance of efficiency.

#### (2) Classical or Traditional or Universalist School

This school, which originated in France, considers management as a universal process. It seeks to

- analyse management process
- develop conceptual framework
- identify principles
- develop management theory on the basis of the identified principles.

Henri Fayol of France who is regarded as the father of this school, adopted scientific approach and viewed at administration from top to bottom. He formulated the well-known set of 14 principles of administration, namely,

- i) Division of work

for its growth. The top-level manager maintains close contacts with outside organizations and acts as representative of library in social, business and government meetings. While formulating plans, top management takes into consideration not only the information gathered by it from external sources but also the reports submitted by the mid-level management.

### 1.3.2 Mid-level Management

As we have already seen in the above section, the top management lays down the broad strategies and policies of an organization. It is the duty of the mid-level management to transform these strategies/policies into specific programmes of action. It also feeds the top management with summary reports. These reports are prepared with the help of statistical analysis of data sent by the first-line managers. The mid-level management should have deep understanding of the various departments, and its main function is coordination; it acts as a bridge between top and first-line management.

### 1.3.3 First-line Management

It handles the routine daily administration of organisation's resources - human, material, financial, etc. - for the purpose of achieving short-range objectives. It is mainly concerned with supervising the work of the staff and solving their problems. For this purpose, it requires to have thorough professional knowledge and abundant interpersonal skills to communicate effectively with the lower level staff. In addition, it is also responsible for ensuring quality control and maintaining standards within the organization.

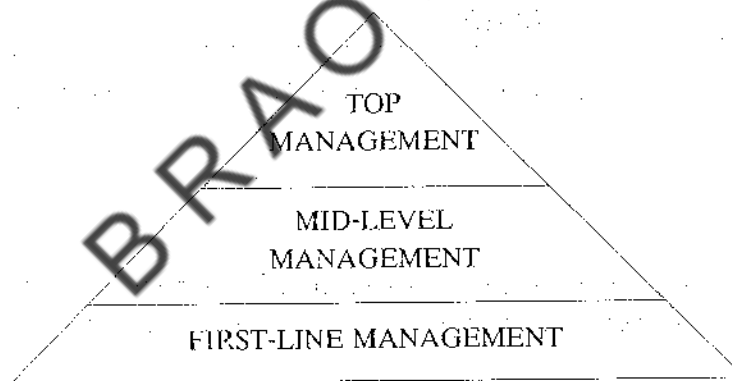


Figure 1: Levels of Management

#### Self-Check Exercis - 1

Name the three levels of management.

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

ii) Compare your answer with the model answer given at the end of this unit.

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ii) as a narrower term in relation to **administration**.

G. Edward Evans, author of the well-known book, *Management Techniques for Librarians*, says:

Administrators establish fundamental patterns of operation and goals for an organization, while managers primarily carry out the directions of the administrators.

In a university, the governing council or executive committee lays down the policies, objectives, rules and regulations of the whole university including its library. While the governing council or the executive committee represent the administration, the university librarian and his subordinate officers constitute the management component of the library.

### **Scientific Approach**

It is preferable for a manager to adopt scientific method for problem-solving. The scientific approach proceeds in a systematic manner with the following steps:

- definition of objectives
- formulation of hypotheses
- collection, analysis and interpretation of data
- drawing conclusion

For problem-solving, the manager can utilise a variety of mathematical and statistical methods that are available.

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## **1.3 LEVELS OF MANAGEMENT**

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In an organisation, we can distinguish three levels of management, namely,

- top management
- mid-level management
- first-line management

The number of managers decreases as we proceed from bottom level to top level. There are considerable differences in the functions performed and skills required by managers working at these levels.

Generally, there is one chief executive (in case of libraries the chief librarian) at the top level followed by a couple of mid-level managers in the middle and a small number of first-line managers at the bottom.

You should remember that often libraries have two distinct hierarchies, namely, that of the library itself and that of the parent organisation of which it is a part. In the case of the library hierarchy, the chief librarian is considered as the top management. However, if we take the whole parent organisation into consideration, then the chief librarian may be regarded as belonging to the mid-level management with the head of the parent organisation as the top management. Let us now briefly look into the functions performed by managers at these three levels.

### **1.3.1 Top Management**

It takes care of the future plans, establishes policies, identifies goals and monitors the external environment. The external environment is scanned mainly for one major purpose -to perceive future changes. As you know, the changes in the external environment may at times turn out to be damaging to the organisation's interests or, on the contrary, may throw up new opportunities

#### **i) Division of work**

For increasing the efficiency of an organization, it is necessary to divide the work to be done among various workers. Each worker should be specifically told about the jobs he has to do. It is always better to limit the scope of jobs to be performed by an individual. This will enable them to develop high degree skills in that area. In other words, they can develop specialised knowledge in their sphere of work. Moreover, it would be easy for the supervisory staff to control their activities as they have to deal with a limited range of functions.

For example, in a university library the various functions such as acquisition, processing (classification and cataloguing), maintaining the collection, circulation, etc. are distributed among the various staff members. This would help them to become specialists in a particular function, say for example, classification and cataloguing, through acquisition of high level skills. If all the staff members are asked to perform all the above functions, that is, if there is no division of work, then it results in disorder, low productivity and inefficiency.

#### **ii) Authority and Responsibility**

The term 'authority' refers to the ability, power or right, to control and command in an organization. In other words, it is the right or official power, especially for some stated purpose.

Generally, we can distinguish two types of authority: **Statutory and Personal**. While a manager gains statutory authority from the official position he occupies, his personal authority is the result of his leadership qualities.

Authority and responsibility are closely linked. They often go together. For the successful accomplishment of a task, the manager should delegate both authority and responsibility. For example, if the manager makes an employee responsible for a piece of work, then he should delegate authority to that employee to take all necessary steps for accomplishing the work. In case the delegated authority is misused, it can be taken back. The guiding principle in this area is: An individual should be granted only that much authority which is required for discharging the responsibilities entrusted to him.

#### **iii) Discipline**

Discipline can be maintained well if the

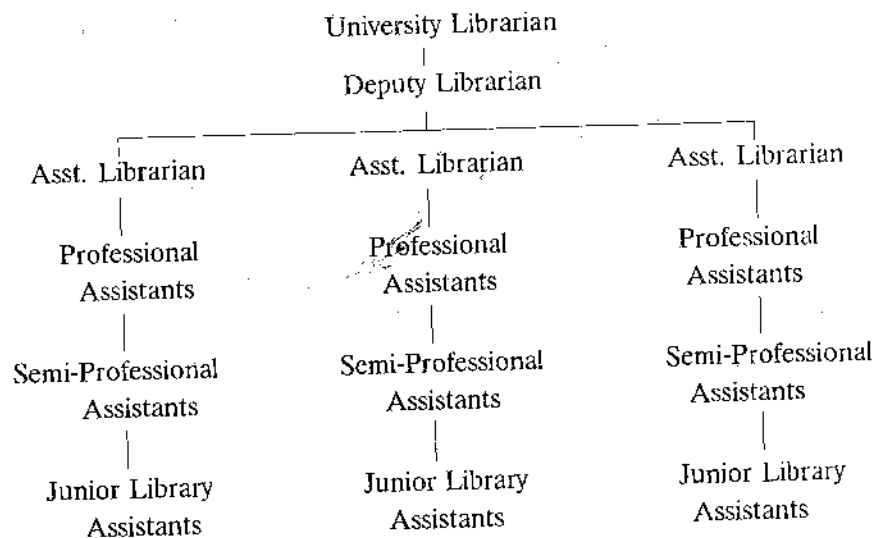
- employees have good and responsible leadership.
- personal disputes are promptly and impartially resolved.
- punishments are imposed without any discrimination.

If the organization has to operate in an orderly and responsive manner, then it should state in clear terms how the employees should behave, that is, what is acceptable and what is not acceptable. In other words, every employee should be told what can and should not be done. Whenever there is any case of indiscipline, it should be investigated by a competent and understanding official and action taken in an impartial and fair manner, if necessary.

#### **iv) Unity of command**

According to this principle, an employee should receive orders from a single supervisor only and he should be totally responsible to him (supervisor). If this principle is not followed, then an employee is likely to be supervised by two or more supervisors and at times he may receive conflicting orders from them leading to staff problems and ultimately the work may suffer.

Take for example the case of a small university library. A highly simplified hierarchical structure of staff is shown below:



In this, the unity of command principle implies that orders should be given in a linear order from top to down. For example, if the university librarian wishes to give any order to a professional assistant, then he should send it through proper channel, namely, through the deputy librarian and the concerned assistant librarian.

The organisation should be so structured as to ensure that the work of each employee is supervised by one supervisor only. This supervisor should have the authority not only to assign the work to his subordinates but also to evaluate it.

#### v) Unity of Direction

This principle prescribes that we should have one manager and one plan for all the operations which have same objective in view. This principle enables us to achieve in mind. Unity of direction can be had through careful arrangement of various sections of the library.

#### vi) Subordination of individual interest to General Interest

This principle states that the personal interests of the employees should be subordinated for the cause of general good. That is, interests of the organization should be given top priority; only after these are taken care of then the individual needs should be considered. If there is any conflict between the personal interest and general good, then the latter should be given preference. In other words, the employee should have great concern for the development of the organisation.

#### vii) Remuneration of Personnel

This refers to the salaries of employees. Salaries should be reasonable, and accurate. They should be comparable with staff members working in other departments of the parent organization possessing similar qualifications. The salary should be fixed at a level which is satisfying both to the employee and the employer. It should be decided on the basis of nature of work, functions, responsibilities, necessary qualifications and experience required.

#### viii) Centralization

In order to have overall control of an organization, it is necessary to have centralization

of authority. Centralization can be done in areas such as laying down the policy, framing up of rules and regulations, etc. At the lower level, decisions can be taken within the framework prescribed by the central authority.

#### **ix) Scalar Chain**

This is also referred to as line of command. As you know, generally organizations are structured in a hierarchical manner. In a library, hierarchy consists of a series of steps, beginning with the chief librarian at the top and ending with lowest functionary, may be an attender, at the bottom. According to this principle, authority and responsibility seeps down from the top in a clear, continuous, unbroken line. You should note that this line also functions as the communication channel. Generally, while orders are transmitted from top to bottom, it is information and proposals/requests that are normally sent from bottom to top.

#### **x) Order**

As you are aware, an organization consists of various units. If these units are to function in a harmonious manner, then they have to be arranged in the most logical and rational way. This principle implies that the various units should be arranged in the best possible manner so as to raise the efficiency of the organization. For example, it would be preferable to locate the photocopying machine near the stack area rather than in a far away corner of the library building. This would be more convenient to the readers and staff as they need not travel much carrying the books to be photocopied.

Similarly, the bindery can be made part of the maintenance section and located near the stack area. As a result, the damaged books can be moved easily to the bindery for repair.

#### **xi) Equity**

Managers should treat all their staff members in a fair and equitable manner. There should not be any unjustified discrimination or preferential treatment towards anyone. Every staff member is a unique individual person each with his/her own personality and identity. They are not just entities which could be ordered according to the whims and fancies of the manager. If the managers treat every employee with respect, consideration and equality, then they can create a good working environment.

#### **xii) Stability of Tenure**

Turnover refers to the number of persons recruited within a period of time to replace those leaving or dismissed from an organization. If the turnover is very high in an organisation, then it means that there is some problem in it. It is the duty of the management to identify it and take corrective steps. Otherwise, the organization may have to incur heavy expenditure in recruiting and training new staff members to replace the ones who had left the organisation. Moreover, every new staff member needs considerable time to familiarise oneself with the new job and gain an understanding of that organization's culture.

Another major problem is frequent absenteeism by staff members. This not only disrupts the work in the concerned department but also affects the efficiency of the total organisation.

Managers have to take care that there is no unusual high turnover or frequent absenteeism by the members of the staff. Suitable promotion opportunities can be provided to discourage employees from leaving the organisation.

### **xiii) Initiative**

Managers should encourage and cultivate initiative among the subordinate staff at all levels. This can be done by inviting them to offer suggestions for improvement of existing procedures/practices so as to increase efficiency and productivity. Also, they can be asked to prepare plans. All such suggestions and plans should be carefully examined by the managers and the persons who offered them should be informed about the action proposed to be taken. Suitable incentives may be given to the members of the staff whose suggestions/plans have been accepted for implementation.

### **xiv) *Espirit de Corps***

It literally means common spirit existing in the members of a group and inspiring enthusiasm, devotion and strong regard for the honour of the group. To put it simply, it is the sense of loyalty among members of a group. Managers should strive to develop the team spirit and feeling of unity among their staff members. This could be achieved easily if they encourage initiative, treat all staff members with equality, have a unified command and provide inspiring leadership. An organization would survive and grow only if its staff members have the feeling of unity. A united organization is a strong organization. In other words, there is strength in unity. Moreover, it would be able to face any crisis situation if the staff members act as a disciplined team.

### **Other Principles:**

According to Prof. Krishan Kumar (*Library Administration and Management*, p.21), in addition to the above Fayol's principles, the following four can also be included in the principles of management:

- span of control
- coordination
- line and staff
- accountability

### **Span of Control**

It refers to the number of persons that a manager controls directly. In other words, it is the number of persons with whom he deals in a direct manner. Generally, the number of supervisors under the control of a single manager ranges from 5 to 9. However, a manager can control the work of a more than nine supervisors if their functions are similar.

### **Coordination**

It relates to the function of achieving harmonious and productive work relations among various departments and also within each department. For the effective and efficient administration of an organization, coordination is a vital management activity. For more details on this, please see section 1.7.5

### **Line and Staff**

Persons occupying line positions take decisions, have authority and the right to command.

On the other hand, persons placed in staff positions perform the advisory function. They do not have authority; they are just expected to provide information or counsel. Moreover, they

are not entitled to receive delegated authority. Their advice may or may not be accepted by those occupying line positions. For example, in a university library, the university librarian can be regarded as occupying the line position. He may contact the public relations officer (a staff position) for advice or information. He may either accept or reject the advice given by the PRO.

### Accountability

Performance measures, both qualitative and quantitative, serve as aids to achieve accountability of employees. They help us to know whether the library is being operated efficiently or not. An efficiently managed library should formulate minimum standards of performance and output. For example, in the case of photocopying section, the library management may prescribe that photocopy should be supplied within three days from the date of placing an order.

### Self-Check Exercise-4

a) Mention the Fayol's principles of management.

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

ii) Compare your answer with the model answer given at the end of this unit.

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b) Differentiate between line and staff positions in an organization.

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## 1.9 ROLE OF LIBRARY MANAGER

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Henry Mintzberg has examined the various roles played by managers and categorized them into ten types. (*The Nature of Managerial Work*. New York: Harper, 1973) A list of these roles, their description and examples of possible activities in libraries are outlined below :

Role	Description	Examples of possible activities in libraries
1) <b>Interpersonal figurehead</b>	Symbolic head. Discharges a variety of legal or social duties.	Participation of Chief librarian in cultural programmes organised by library staff.

ii)	<b>Leader</b>	To motivate and activate lower level staff. Take care of staff recruitment, training and related activities.	Engage in discussion with library staff members about their improvement of professional qualifications, training needs, etc.
iii)	<b>Liaison</b>	Develop and sustain a network of contacts with outsiders who offer help and information.	Attending professional meetings and working as office bearer of professional associations.
iv)	<b>Informational Monitor</b>	To strive and get access to different pieces of specialised information, mostly of current nature so as to gain a deep understanding of organization and its environment.	Personal or telephonic contacts with government departments, book sellers, publishers, etc.
		To act as the nerve centre for both external and internal information relating to the organization.	
v)	<b>Disseminator</b>	To act as a transmitter of information received from outsiders and from subordinates to various members of organization.	Conducting staff meetings, engaging in conversation with few field/lower level staff.
vi)	<b>Spokesperson</b>	To act as a transmitter about information relating to the plans, policies, results, etc. of the organization. Offer expert advice on the field of activity of parent organization.	Preparation of annual report. Membership and participation in various library committees.
vii)	<b>Decisional Entrepreneur</b>	Survey of organization and its environment and formulation of new projects to effect change. Supervising design of projects.	Introduction of new library services. Conducting library user surveys.
viii)	<b>Disturbance Handler</b>	Taking remedial steps when an organization is involved in disturbances/crisis situation.	Handling problematic situations such as staff strikes, student agitations, etc.
ix)	<b>Resource Allocator</b>	Allocating the various resources human, material, financial--to different sections of an organization.	Allocating staff to various sections in a library.
x)	<b>Negotiator</b>	Acting as the representative of the organization at high level negotiations.	Making out a case for allocation of more funds for library development at financial committee meeting of the university.

Adapted from : Bryson, Jo. *Effective library and Information Centre Management*. Brookfield, Vermont: Gower, 1990, pp.5-6.

You should remember that although the above roles are listed out separately, in actual real life situations they are performed in an integrated manner. That is, a library manager may be enacting/engaged in more than one role simultaneously. Moreover, these roles are interdependent on each other. The major roles played by the library manager depends on various factors such as his personal leadership style, type of organization, external environment, characteristics of subordinate staff, availability of communication technology and organizational culture.

According to Edward Evans, another role, namely, that of "Politician" needs to be added to the above list of managerial roles. This is particularly important in case of libraries supported by public funds. The librarian should have a thorough knowledge of the political process and strive to enlist support of local politicians and community leaders to get maximum funds for the library.

### Self-Check Exercise-5

According Henry Mintzberg, a manager plays ten types of roles in an organization. What are they?

- Note: i) Write your answer in the space given below.  
ii) Compare your answer with the model answer given at the end of this unit.

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### 1.10 SUMMING UP

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The library management should be responsive and imaginative. The library manager should strive to develop successful human relations among the library staff. He should make it a point to know the staff problems personally and try to solve them with understanding and considerateness.

As we have already seen, libraries function in two distinct environments--the internal environment and the external environment. The job of the library manager is not just limited to the design of an internal environment which is conducive to optimum performance. He has to take into consideration the external environment which have the potential to affect the functioning of the library. He should develop skills to be able to forecast their impact and prepare the library for the anticipated changes.

Libraries provide excellent opportunities for innovation and testing of new ideas. The library manager should encourage his subordinates to innovate so as to make the library services much more effective and efficient. He should know the various principles and techniques of management and be capable of applying the appropriate one at the required time.

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## 1.11 MODEL ANSWERS TO SELF-CHECK EXERCISES

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- 1) The three levels of management are :
  - i) top management
  - ii) mid-level management
  - iii) first-line management
- 2 a) The characteristic feature of scientific management school is that workers are economically motivated and they work to a maximum degree if their work efforts are linked with material rewards. This school aims to attain maximum production using minimum efforts through avoidance of waste and inefficiency at the work spot.  
  
(b) The various type of activities in an organization as stated by Henri Fayol are :
  - i) technical or production
  - ii) commercial (buying, selling and exchanging goods)
  - iii) financial (search for, securing of and efficient use of money)
  - iv) security
  - v) accounting (including statistics and record keeping)
  - vi) managerial (planning, organization and control)
- 3) The acronym POSDCORB stands Planning, Organizing, Staffing, Directing, Coordinating, Reporting and Budgeting.
- 4 (a) The Fayol's principles of management are : i) Division of work; ii) Authority and responsibility; iii) Discipline; iv) Unity of command; v) Unity of direction; vi) Subordination of individual interest to general interest; vii) Remuneration of personnel; viii) Centralization; ix) Scalar Chain; x) Order; xi) Equity; xii) Stability of tenure of personnel; xiii) Initiative; and xiv) *Espirit de Corps*.  
  
(b) Persons occupying line positions take decisions, have authority and the right of command. On the other hand, persons placed in staff positions perform the advisory function. They do not have authority; they are just expected to provide information or counsel.
- 5) The ten types of roles which a manager plays in an organization, as stated by Henry Mintzberg are : i) Interpersonal figurehead; ii) Leader; iii) Liaison; iv) Informational monitor; v) Disseminator; vi) Spokesperson; vii) Decisional entrepreneur; viii) Disturbance handler; ix) Resource allocator and x) Negotiator.

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## 1.12 RECOMMENDED BOOKS

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- Evans, G.Edward. *Management Techniques for Librarians*. 2nd ed. New York: Academic Press, 1983.
- Krishan Kumar. *Library Administration and Management*. 2nd ed. New Delhi: Vikas, 1987.
- Mittal, R.L. *Library Administration: Theory and Practice*. 5th ed. New Delhi: Metropolitan, 1984.

Narayana, G.J. **Library and Information Management**. New Delhi:  
Prentice-Hall of India, 1991.

Stueart, R.D. and Morgan, B.B. **Liabrary Management**. 3rd ed. Littleton:  
Libraries unilimited Inc., 1987.

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### 1.13 GLOSSARY

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**MBO (Management by Objectives)** : It is a process whereby the superior and subordinate managers of an organization jointly identify its common goals, define each individual's major areas of responsibility in terms of the results expected of him, and use these measures as guide for operating the unit and assessing the contribution of each of its members.

**PERT (Programme Evaluation and Review Tecnique)** : A management technique for work analysis which involves identifying and arranging in proper order the various steps of an activity and assigning each step a time value.

**PPBS (Planning Programming Budgeting System)** : It is a budgeting technique which integrates the positive features of both programme budgeting and performance budgeting.

**Systems Analysis** : It refers to analysis of an operation in order to identify controllable and uncontrollable variables and to find out in precise terms the actual working of a system.

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## **UNIT-2: APPLICATION OF MANAGEMENT TECHNIQUES TO LIBRARY OPERATIONS**

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### **Contents**

- 2.0 Aims and Objectives
- 2.1 Introduction
- 2.2 Scientific Management of Libraries
  - 2.2.1 Library Planning
  - 2.2.2 Organizing of Different Units
  - 2.2.3 Staffing in Libraries
  - 2.2.4 Directing the Staff
  - 2.2.5 Coordinating of Activities
  - 2.2.6 Library Annual Report
  - 2.2.7 Budgeting Methods
- 2.3 Levels of Library Management
  - 2.3.1 Top Management
  - 2.3.2 Middle Management
  - 2.3.3 Operational Management
- 2.4 Summing Up
- 2.5 Model Answers to Self-Check Exercises
- 2.6 Assignments
- 2.7 Recommended Books
- 2.8 Glossary

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### **2.0 AIMS AND OBJECTIVES**

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In Unit One, we have studied the basic principles, techniques, tools and theories of Management. We will discuss here the application of those principles and techniques to the management of libraries.

After studying this unit, you should be able to:

- describe the techniques and essential elements of management in the context of libraries.
- explain how the application of principles and techniques of management helps in organizing and managing the libraries on scientific lines with desired efficiency.
- discuss different levels of management in the context of library.

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### **2.1 INTRODUCTION**

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Libraries have been in existence from times immemorial. They have been changing fast to keep pace with developments in the society. A modern library is a complex organization. Its management following scientific methods and principles, would bring in efficiency in its working and help to meet the information needs of its users satisfactorily.

Management is a process that brings together varied resources like men, materials, money, machines and techniques to accomplish the tasks required of an organization to fulfil its objectives.

We need to study management theories in the context of library operations and how the principles, techniques and tools could be adopted in library management with good results. An understanding of theories and techniques of management is very necessary for library managers.

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## **2.2 SCIENTIFIC MANAGEMENT OF LIBRARIES**

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The elements that constitute the bases of scientific management are: Planning, Organizing, Staffing, Directing, Coordinating, Reporting and Budgeting (POSDCORB). Let us discuss these with particular reference to Library Management.

### **2.2.1 Library Planning**

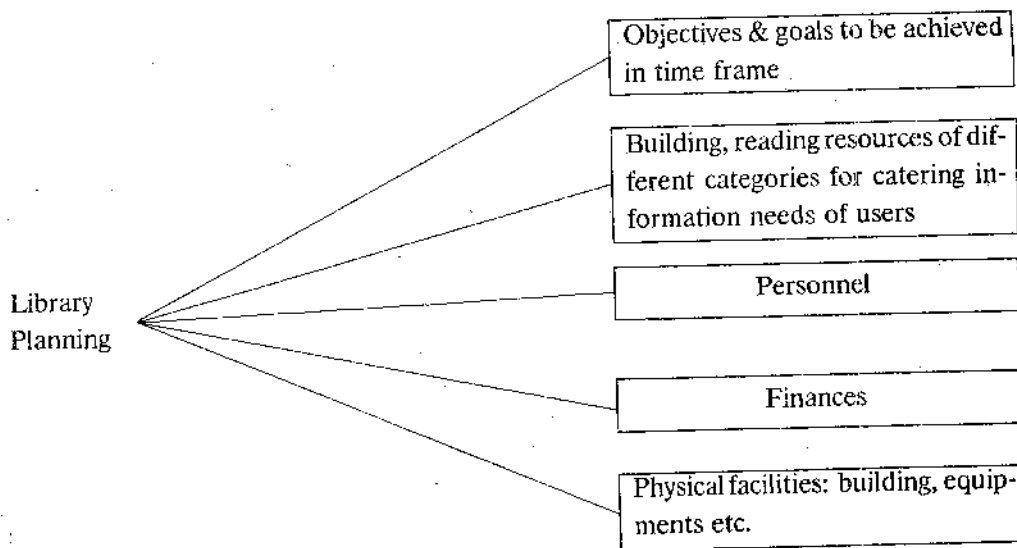
A well thought out planning is necessary for achieving objectives of any organization including a library. The planning is a scheme made in advance covering all aspects essential for accomplishing missions and objectives, marshalling all resources; financial, material and manpower. Planning provides a total scenario. It is a blue print for action. Briefly the planning process could be explained as below:

- a. Setting of objectives that could be attained economically within a time frame.
- b. Assessment of future uncertainties that would crop up on account of economic, political, social, technological and other environmental changes and measures necessary to overcome them.
- c. Chalk out projects and programmes for implementing, choosing the best method from among different alternatives.
- d. Estimation of resources - men, finances, physical facilities, technologies etc., - needed for successful implementation of plans.
- e. Preparation of a comprehensive plan document for guidance of all concerned.

The planning for libraries differs according to size and type of the library. But by and large the aspects that need attention while planning are:

- i. Objectives and goals
- ii. Programmes and activities to be undertaken
- iii. Reading materials
- iv. Clientele and their information needs
- v. Information products and services
- vi. Personnel
- vii. Finances and
- viii. Physical facilities

The following diagram illustrates these aspects of library planning :



Planning is the first step in effective and successful management of libraries. An understanding of the importance of planning and the various aspects and steps involved, is necessary for library managers. This process will usher in definite advantages which are briefly listed below.

### 2.2.1 Advantages of Planning

- a) It provides a basic frame work of objectives and strategies.
- b) It minimizes adhoc decisions.
- c) Planning helps in identifying the essential priority actions.
- d) It helps move systematically towards the achievement of goals.
- e) Planning helps in monitoring, error-identifying and remodifying course of action.
- f) It helps in improving services, operations, and fiscal control.
- g) It ensures rational and effective development.

Thus a large size library needs a well thought out planning for its building, collection , personnel, services and finances. It has to be borne in mind that planning is a dynamic process which requires a constant evaluation of results of decisions against expectations.

On the national level planning of information services calls for a partnership between senior qualified professionals and planners concerned with, educational, social and economic development. The appointment of a working group on libraries by the planning commission during 4th and 7th Five Year Plans were good steps in this direction.

### Self-Check Exercise - 1

- (a) What is the Planning Process? Explain briefly.

Note: i) Give your answer in the space provided below.

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

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b) List out the advantages of Planning?

Note: i) Give your answer in the space provided below.

ii) Compare your answer with the model answer give at the end of this Unit.

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### 2.2.2 Organizing of different units

As we have seen in earlier section, planning provides necessary guidelines for attaining a set goal. But organised human efforts are required to translate the plan into action. Organisation could be defined as the cooperative activities of human beings to achieve a set objectives through a formal structure. The structure defines the role of functionaries, their relationships, authority and resonsibilities.

Organisational structures comprise department, sections, units, etc. The structural pattern reflects grouping of humogeneous activities together making it a logical arrangement. Specific persons and positions are entrusted the work of management of these different groupings. The result of such systematic distribution of work indicating nature of duties of individuals attending to it, will bring in coordination among all sections staff decipline and increased output.

The libraries are generally organised on the folowing lines:

1. By functions : Acquisition, technical processing, readers services etc.
2. By Territory : Central, Regional, District, Mandal, etc.
3. By User Groups : Children, Handicapped, Prisoners, etc.
4. By Subjects : Science, Humanities, Social Sciences, etc.
5. By Form of Materials : Maps, Photographs, Films, Video Cassetts, etc.
6. By Products/Services : INSDOC (Products), Referral Centres (service)
7. By Languages : French, German, Hindi, Telugu, etc.

Any arrangement taking into consideration the above factors will facilitate the use of materials. In India most of the libraries are organised by functions or by combinations of some of the above factors.

It is seen that most of the libraries will have following sections:

- a) Acquisition
- b) Technical Services
- c) Circulation
- d) Reference
- e) Documentation and
- f) Reprography.

### Self-Check Exercise - 2

What are the different methods for organizing libraries?

- Note: i) Give your answer in the space provided below.  
ii) Compare your answer with the model answers at the end of this Unit.

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### 2.2.3 Staffing in Libraries

As discussed in earlier section, organizing stipulates the structure most suited to attain the objectives. It also defines the various types of personnel and the role they play in the structure. Staffing is concerned with providing right type of persons to man the different units of the library. The process involves, recruitment, selection, placement, appraisal and development of staff required for the organisational structure. Staffing is crucial for successful management.

The size and type of staff to be recruited depends on job analysis. The positioning of people at different levels requires different qualitative, technical and physical abilities.

The library is growing organism. Modern libraries have become complex organizations. They adopt computer and other innovative devices for offering services and manage variety of documents. It has become necessary to plan in advance the manpower needs with different specialisations over a period of time and follow it up so that the organization runs smoothly.

### 2.2.4 Directing the Staff

It is essential that the energies of the staff are channelized in a purposeful manner towards the attainment of the goal, without wastage, duplication and working at cross purposes. Directing is a managerial function. The managers need to exhibit the capacity to get things done through persons, both individually and collectively. The directing includes leading and motivating human resources to give out their best. Interpersonal relations and human behaviour are very important components of directing

Behaviour is the result of complex interaction, between an individual and his environment. The mental make-up of each individual depends on education, social customs, cultural traditions, etc., and becomes unique. It is necessary for managers to study these varied influences on

individual. The managers should possess ability and leadership qualities and motivate the staff to work willingly towards attainment of library's objectives. The Chief Librarians should inspire and create environment to get positive response from his colleagues.

The good interpersonal communication both oral and written is another important aspect of directing. Clearly written communications through memos, letters, reports, policy guidelines, and staff manuals provide proper direction to the staff. Holding of regular staff meetings will also help.

It is essential to ensure that all activities in the library are carried out according to the plan and set norms. It is controlling which ensures this. However, control does not mean putting restrictions, but providing guidelines to function according to set standards of efficiency and quality. Two steps in controlling are: establishing standards and instituting measures against deviations. It implies accountability and obligations of the staff at all levels. Modern management techniques like, Programme Evaluation and Review Techniques (PERT), Critical Path Method (CPM) and Systems Analysis, could be profitably used for applying control in libraries.

### 2.2.5 Coordinating of Functions

The different sections of a library have to work like different limbs of the body. If one limb is affected the whole body feels hurt. Library is a total system in which every subsystem must work efficiently and smoothly. The coordinated efforts of all its units will help in achieving ultimate objective of providing documents and information services to the user community.

### 2.2.6 Library Annual Report.

Reporting is another important aspect of management. It is necessary for any organization including libraries to keep all concerned informed about their performance, achievement and shortfalls periodically.

Generally all libraries prepare annual reports. These reports help to maintain good public relations with, administration, users, book trade, etc. They also help the staff in self assessment and knowing the strengths and weaknesses of the organization. Thus reports are useful for internal as well as external public.

Reports need be comprehensive providing all aspects of libraries work like, collection development, type of users, readers services, special facilities, staff performance, financial and administrative matters etc. The activities generate useful statistical data. The data could be analysed and findings used in planning various activities and overcoming the weaknesses that creep up in the system. Reports, although prepared annually, they could be monthly, quarterly etc.

Although the Chief Librarians prepare reports, but input should be there from all units.

### Self-Check Exercise - 3.

What should be contents of a library annual report?

Note:- 1) Give your answer in the space provided below.

ii) Compare your answer with the model answers given at the end of this unit.

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### 2.2.7 Budgeting Methods

Libraries are spending organizations. Therefore there is every need of financial control. A budget serves two purposes (a) as a plan input to produce goods and services as outputs and (b) as an instrument of control.

Budgeting is nothing but financial planning and accounting. The main purpose of budgeting is balancing of estimated revenue and expenditure in order to achieve set goals. It is an instrument to bring about changes in the desired direction. Due to pressure of inflation, increasing output of information materials, impact of technology and competing demands of limited resources, it has become imperative for libraries to have a close look at financial side. It is necessary to adopt sound financial and budgetary principles.

Budgets are usually prepared for a year, but there is no bar to prepare a perspective plan and estimates of financial resources and expenditure for longer periods. Library managers should bear in mind the following questions before they prepare the budget:

- a) What are the library and information services needed and how much of these required?
- b) What is the cost of providing such services?
- c) Who will pay for those services and how much will be paid?
- d) What are the returns libraries get and how much?

There are different methods for preparing budgets. Some are conventional and others are innovative. These methods will be discussed in detail in Unit 9 of Block III. However they are briefly mentioned here. The most common and conventional type of budget which is followed by majority of libraries in India is Line by line budget. The income is divided into different categories of expenditure such as salaries and wages, book fund, maintenance, supplies, services, rent, capital expenditure etc. In this system of budgeting no weightage is given to performance. PPBS (Planning Programming Budgeting System) is considered as an innovative method. The emphasis in this method is on planning of activities based on their past performance and unit cost. Another new method is Zero Base Budgeting (ZBB). Each programme would start from point 'Zero' and would not consider its past. It requires careful analysis of activities that are required to be taken up in coming year.

In addition to above mentioned factors, the libraries do apply the other management principles in their work, such as division of work, centralization vs. decentralization, scalar chain, systems analysis, operation research etc.

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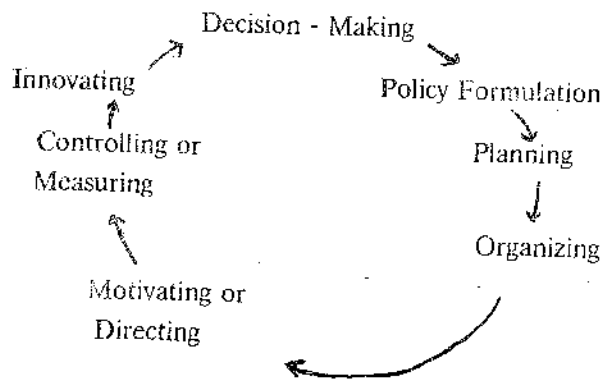
### 2.3 LEVELS OF LIBRARY MANAGEMENT

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The process of scientific management and adopting different management techniques makes it necessary for libraries to have different levels of management viz. top, middle and operational. The functions that are performed at these levels are briefly mentioned below.

### 2.3.1 Top Management

Policy decisions, Policy formulations, Planning, Quality control, Control and evaluation, Motivating and Directing, Resource mobilization and Public relations. The innovative process through which top management attends to above functions could be illustrated by the following diagram given by Beatrice V. Simon.



#### Self-Check Exercise-4.

Explain the functions that are performed by top management?

Note: i) Give your answer in the space provided below.

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

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### 2.3.2 Middle Management.

Execution of programmes, supervision, coordination, monitoring etc.

### 2.3.3 Operational.

Routine tasks, and other activities entrusted to them.

Thus an efficient management depends on sharing of responsibilities by all the three levels as indicated above.

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## 2.4 SUMMING UP

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This unit briefly describes as to how some the management principles, techniques and tools could be applied for management of libraries profitably. It particularly explains the application of seven elements of scientific management in library operations. For practical application of principles, techniques, tools and elements of scientific management, the library staff of varied categories is required. The duties and responsibilities of library personnel at three levels of management have been clearly delineated.

Thus it could be concluded that principles of scientific management are as good for libraries as other organizations.

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## 2.5 MODEL ANSWERS TO SELF-CHECK EXERCISES

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1 (a). The planning is the first step in effective and successful management of libraries. It presents a total scenario for action. The process involves the following steps:

- (i) Setting of objectives and accomplishing them within a time frame.
- (ii) Assessment of environmental changes and measures to be taken to overcome them.
- (iii) Choosing best method from among different alternatives to implement programmes.
- (iv) Estimation of resources: men, finances, reading material, physical facilities and technologies required.
- (v) Preparation of Comprehensive Plan document for guidance of all concerned.

(b). Advantages of planning are as under:

- (i) Provides a basic frame work of objectives and helps plan strategies for action.
- (ii) Helps avoid adhoc decisions.
- (iii) Helps in identifying priorities.
- (iv) Provides right and systematic approach for modifying targets.
- (v) Helps in monitoring and error identifying and modifying course of action.
- (vi) Helps improve services, operations and fiscal control
- (vii) Ensures rational effective development.

2). Libraries are organized by functions, territory user groups, subjects, form of materials, products, services or languages.

3) Contents of Library Annual Report are usually; collection development, users, reader services, special facilities, staff performance, financial and administrative matters.

Both description and statistical data on the above are provided.

4) Functions of top management are listed below:

Policy decisions, policy formulations, planning, quality control, control and evaluation, motivating and directing, resource mobilization and public relations.

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## 2.6 ASSIGNMENTS

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- (1) Visit any University Library and study the organizational setup there. Briefly describe it.
- (2) Briefly discuss as to how principles of scientific management could help libraries in providing better services.
- (3) Explain the functions of top, middle and operational levels in public library system in A.P.

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## 2.7 RECOMMENDED BOOKS

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- (1) Narayana, G.J. *Library and Information Management*. New Delhi: Prentice-Hall of India, 1991.
- (2) Ranganathan, S.R. *Library Administration*, 2nd ed. Bombay: Asia Publishing House, 1960.
- (3) Stueart, R.D. and Morgan, B.B. *Library Management*, 3rd ed. Littleton: Libraries Unlimited, 1987.

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## 2.8 GLOSSARY

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- Cost Effective** : Study and evaluation to find out whether the expenditure incurred on products, materials or services justified by the benefits they provide.
- Network Analysis** : Planning , scheduling, monitoring and evaluating of systems for management.
- Operation Research:** A process of studying operations by using mathematical, statistical and related scientific methods, in order to develop models and methods of planning, forecasting and decision making.
- Programme Evaluation  
& Reviewing Technique:  
(PERT)** A Computerized system designed to help top management in planning, research, problem solving, decision making and control organizational process.
- System Analysis** : The scientific study and analysis of all aspects of management system to determine the necessary steps for continuation, improvement or correction.

## **BLOCK -II : LIBRARY PLANNING AND ORGANIZATION**

This block comprises three units on physical planning and organisation of a library. The first unit deals with library building. The planning of library building depends on the vision of the librarian on future expansion. A purposeful and elegant library building is the result of a team work of persons from academic, professional, engineering and architectural fields. The library building planning is guided by some norms and principles, which have been explained in this unit.

The second unit deals with library furniture and equipment. The managers of the library should be well versed in identifying the suitable and appropriate furniture and equipment to fit with the library building for comfort and efficiency. Different types of furniture and equipment required in different sections of library and their use have been explained.

The third unit discusses the organisational structure of libraries. One of the ways to organise the library's activities is to demarcate the right type of activities involved and to identify the persons incharge of these activities. Such a demarcation is helpful to determine and define responsibilities and relationships between different units of a library. The organisational structure in different types of libraries has been illustrated with organisational charts.

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## **UNIT-3 : LIBRARY BUILDING**

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### **Contents**

- 3.0 Aims and Objectives
- 3.1 Introduction
- 3.2 Functions and Activities of library building
  - 3.2.1 Functions
  - 3.2.2 Activities
- 3.3 Library Building Construction - Approaches
  - 3.3.1 Functional Approach
  - 3.3.2 Part Played by the Librarian
  - 3.3.3 Role of the Architect
  - 3.3.4 Basic points in Planning
  - 3.3.5 Standard Specifications
  - 3.3.6 Implications of Growth
  - 3.3.7 Expansion Policy
- 3.4 Designing a Library Building
  - 3.4.1 The Building Programme
  - 3.4.2 The Site
  - 3.4.3 The Basic Building Relationships
  - 3.4.4 The Areas of the Library
  - 3.4.5 Environmental Conditions
  - 3.4.6 Facilities and Equipment
  - 3.4.7 Colour
- 3.5 Summing Up
- 3.6 Model Answers to Self-Check Exercises
- 3.7 Assignment
- 3.8 Recommended Books
- 3.9 Glossary

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### **3.0 AIMS AND OBJECTIVES**

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A library building should reflect the functional requirements of a library. This unit introduces you various factors that need to be considered in planning a library building.

After studying this unit, you should be able to

- explain the need for proper planning for a library building;
- elaborate the factors that are to be considered in planning.

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### **3.1 INTRODUCTION**

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Library buildings house library collections of various kinds, chiefly books and other printed matter, seating accommodations and other facilities for library users. Before a library building

is constructed or even planned a number of tasks should be carried out. The persons directly concerned may include an architect, the librarian and often several members of his staff and construction engineer. Since the library is built primarily for those who are to use it, their needs should be kept in mind, and possibly they should be represented in the planning.

It is always advisable to have a library building planning committee consisting of the librarian, an architect, the engineer, a representative of the library committee, governing board representative and one or two representatives from the users. The preparation of a programme for the library building is generally, if not always, the most important single contribution by the institution's representatives, and seating accommodation, book storage, furniture and equipment and aesthetics must be dealt with in any type of library. The details are different, of course, but the general principles are the same. One of the great dangers in all planning of library buildings is that in searching for formulas and rules, the librarian, the planning team, and the architect will make the mistake of adopting blindly what has been used by others. No two libraries are alike, but they have much in common whatever their type, clientele and nationality.

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## **3.2 FUNCTIONS AND ACTIVITIES OF LIBRARY BUILDING**

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### **3.2.1. Functions**

Any library building should be able to cater generally to the following functions:

- a) The effective technical operations of the library.
- b) The efficient and rapid production of the library.
- c) The provision of quiet, comfortable and attractive areas for study.
- d) The provision of individual and collective studies for the users doing intensive research work.
- e) The provision of facilities for developing reading habit.
- f) The provision to facilitate the contact of the users with the contents of the library.
- g) The storage and preservation of reading material.
- h) The accessibility of the reading material to users without loss of time.

### **3.2.2. Activities**

The details of the interior of the building should take into consideration the following activities:

- a) Book - preparation activity.
- b) Book - storage activity.
- c) Book - service activity.

These activities should comprehend the present and the future needs.

In planning a functional building, those responsible must consider to the following essential points:

- a) Providing quarters that will as far as possible ensure the preservation of the collections i.e., creating proper atmospheric conditions. But atmospheric conditions alone will not necessarily preserve the collections. Arrangements that will prevent their loss by vandalism and theft must not be neglected.

- b) **Comfort of the readers and staff** i.e., create conditions that enable the reader to forget about matters like temperature, lighting, visual and auditory distractions.
- c) **Convenience:** Planning should make it unnecessary for readers and staff to waste time in travelling to reach the place.
- d) **Space utilization:** The fundamental question is how much it will cost to house satisfactorily a given number of readers, services to readers, collections and staff, and how much it will cost to operate and maintain the building during the years to come.

**Self-Check Exercise-1**

What is the constitution of a library building planning committee?

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

ii) Compare your answer with the model answer given at the end of this unit.

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**3.3 LIBRARY BUILDING CONSTRUCTION - APPROACHES**

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**3.3.1 Functional Approach**

In designing a library building, we have to first analyse the functions of library building and then to think of the form. It is possible that an architect, responsible for designing a library building, may give first preference to the form rather than to the functions. But it is the librarian's duty to see that the building is more functional. For this he has to imagine the movements from floor to floor and the accessibility of each department. He shall have to understand from the architect the provisions of natural lighting, prevention of direct sunlight inside the library, ventilation, window details, cooling, heating, artificial lighting, floor covering, mechanical means of communications and internal fittings. The architect shall have to mark out the furniture in each area in the way they will occupy the proposed building. Once the interior design is completed, its outer form will take its shape.

**3.3.2 Part Played by the Librarian in the Library Building Construction**

The librarian should make preliminary investigations and should continue till the final details regarding the furniture and equipment are worked out.

He shall have the following functions:

- To know precisely the working of the institution for which the building is designed.
- To use basic formulas and standards applicable to various requirements. They include:
  - number of books per shelf;

- number of periodicals per shelf;
  - space for a reader;
  - space for service points;
  - space for technical operations;
  - space for gangways;
  - number of potential users;
  - number and nature of seats for study.
- To decide the category of reading-space like individual study, faculty study, group study, seminar work, etc.
  - To consider the special features for the library like auditorium, audiovisual areas, technical information area, reprographic area, etc.
  - To decide about the policy of access to the collections.
  - To decide about the physical conveniences of users.
  - To design the work-flow charts for main functions of the library.
  - To translate into approximate square meters all the space requirements.
  - To determine the library personnel for the operations and services of the library.
  - To study the possibility and advisability of further expansion.
  - To examine the site in terms of area and size of the building taking into consideration the future expansion.
  - To state clearly the basic points of design in terms of space and other requirements.
  - To make definite recommendations on each major point.
  - To prepare a write-up of the basic principles and primary elements in design for the guidance of the organization and the architect.
  - To specify materials, equipment and furniture for each area of the building.

Thus the role of the librarian is very important. He should decide in consultation with the architect the traffic patterns, floor load, floor coverings, lighting, acoustic problems, ventilation and climatic problems. Sketches and drawings of each area as worked out should be a guide for the final design. His advice at the stage of construction and later in the organization of various areas in the library according to the functions stated by him should be available.

### **3.3.3 Role of the Architect**

The architect is a coordinator. He is a master at blending the proper ideas worked out with architectural features, materials and site. The architect should be willing to understand the basic principles of design, spatial relationships and the philosophy of librarianship. It is very helpful for the architect if the librarian takes him to some libraries to explain their working. He has to prepare drawings and sketches for all major functions of the library. His design will be a graphic representation of the functions of the building which forms the construction plan.

An architect has the following three stages of work:

- a) Preliminary sketches and drawings on the basis of the details worked out by the librarian.
- b) Working drawings and specifications. These include the drawings for architecture structures, plumbing, electric connections, ventilation and site orientation work.
- c) Technical information providing technical specifications and supervision in the use of materials, construction devices and inspection work.

### 3.3.4 Basic Points in Planning

Planning of any library should be initiated from the main entrance. The general policy determining the location of various elements of the library should be based on the accessibility, utility and efficiency of each element in relation to the overall structure of the library.

In this connection the following points are of vital consideration in planning a library building.

- Work-flow to determine the functional basis of each activity. This should include:
  - users flow
  - material flow
  - service flow
  - Operations flow
  - Storing flow
  - Control and supervision flow.
- Display area to be near the entrance.
- Circulation counter to be in the central position with easy access to public catalogue, book stacks and reference.
- Main catalogue to be within the easy reach of the users and the reference staff.
- Reference area to be near the public catalogue with a central reference desk.
- Main study area to be near the bookstacks and on the main floor.
- Periodicals are to be an integrated area for current periodicals.
- Carrels to face the outside wall of stacks.
- Mutitier stacks to be as a solid stock.
- Processing departments to be interconnected as a consequence of the chain of operations of a book.
- Technical staff activity to be on the same floor.
- Modular concept to be used in construction.

### 3.3.5 Standard Specifications

The Standard specifications should relate to the following:

- Dimensions of shelving.
- Shelf requirement.
- General space requirement.

In the case of shelving the height, width and depth of a shelf should be determined. In the case of shelf requirement the number of volumes per shelf with regard to normal books, bound volumes of periodicals reference books, undersized books should be determined. In case of general space requirement the space required for a reader, technical staff, gangway, service desks should be determined. The number of seats to be provided for each category of user in a library should also be determined on the basis of an agreed standard. The determination of the areas on the basis of the standard is an important aspect of library planning. Standards should also be applied in designing the furniture for technical service operations to suit the needs of the library.

### **3.3.6 Implication of growth**

The problems to growth and expansion must be kept in view in designing a library building. The site should provide sufficient space for future expansion not only to the book-stack area but also for more seating space for readers and the working space for the staff. Expansion is based on quantitative factors and the rate of development of certain techniques. The growth of book collections, rise in population, heavy demand on the library in service and needs are some of the quantitative factors making the growth and expansion inevitable.

The rate of growth must be slowed down by the policy of weeding out, storage phenomenon, specialization and service implications.

### **3.3.7 Expansion policy**

The capacity for expansion of the library should be based on the following factors:

- a) Period of the service of the library.
- b) Anticipated development;
- c) Location of site.

#### **Vertical and Horizontal Expansion:**

Expansion of an existing building can take place in two ways:

- a) Vertically; and
- b) Horizontally.

#### **a) Vertical Expansion**

Vertical expansion is the best method for stack construction. It helps in the creation of several tiers in stack units and in further additions to the tiers in future as well.

#### **b) Horizontal expansion**

Horizontal expansion is generally preferred. It helps the librarian to carry out the expanded functions on a single floor. It helps the architects in not taking the risk with the foundations for vertical additions, and architectural view against the intended heights in terms of other buildings around it. Horizontal expansion is helpful for the expansion of reading areas but is difficult in maintaining the administrative flow between the stacks and the reading areas. Underground book storage has been created in some libraries but has been rejected as well.

#### **Self-Check Exercise-2**

What are the factors that determine the expansion policy of a library building construction ?

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

ii) Compare your answer with the model answer given at the end of this unit.

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## 3.4 DESIGNING A LIBRARY BUILDING

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### 3.4.1 The Building programme

The librarian should write the building programme. This will consist of a) Basic information and b) Building requirements. For clearly written programme, it is recommended that the outline shown below be followed:

#### A. BASIC INFORMATION

- i) A statement of the library philosophy which includes:
  - a) The library history;
  - b) The library objectives;
  - c) The library policies.
- ii) The building budget.
- iii) Any general statement not covered by the library philosophy

#### B. BUILDING REQUIREMENTS ( for each space in building )

- i) The name of the space
- ii) The type and number of occupants.
- iii) The required area in square feet.
- iv) The description of the specific functions of the space, its relationship to other areas, its special problems and a description of the atmosphere which the librarian may have in mind.
- v) A list of the building equipment which becomes part of the building construction cost (such as telephone and buzzer system, clocks, built-in-shelves, etc.)
- vi) A list of movable furnishings which are under a separate budget from the building construction cost (such as desks, catalogue cabinets, chairs, tables, etc.)
- vii) A list of equipment required for the operation of the library (such as typewriters, reproduction machines, projectors, etc.)

When the programme has been written it is time to appoint an architect.

The architect is the man who translates the programme into an actual building which will incorporate the spirit and intent of the library philosophy. The architect's aim is to create a

building that is beautiful to create a building that works well, to create a building within a given budget, and to create a building which is safe.

### **3.4.2 The Site**

The best location is near a busy shopping area, near to public transportation and close to pedestrians. Try not to locate the library in a park, in a secondary street.

### **3.4.3 The Basic Building Relationships**

The first study which the architect may prepare is a flow or relationship diagram. The flow diagram will form the basis of the plan. Without indicating the size or shape or levels of the building, the diagram clearly establishes where each activity takes place in relationship to all others. It also clearly establishes how readers, children, staff and books move without crossing or interfering with each other.

Keep the basic plan simple and avoid corners and other physical obstructions which will complicate visual control of the space.

Use the largest possible structural spans which the budget will permit.

Avoid fixed partitions and built-in fixtures

Consider the requirements of growth.

The structural walls and columns must be planned for the basic schedule.

The ceiling height for any given space is best determined by the architect.

Avoid using too many windows, but consider using windows for their psychological effect.

Use architectural means to control sunlight. Use glass to separate quiet from noisy areas.

### **3.4.4 The Areas of Library**

While designing any area, constant thought must be given to the layout of furniture and equipment if the areas to function properly.

#### **(a) The Entry:**

The library must have only one main entrance which serves both as entrance and exit.

#### **(b) The Exhibit Area:**

Displays and exhibits are best located in an area through which everyone will have to pass, and therefore where everyone will see them. The ideal location for displays is between the entrance and the circulation desk. Provide a bulletin board as an integral part of the exhibit area.

#### **(c) Reading Room:**

It is essential in the planning of this space, that all related activities be as close to each other possible. Thought must be given to putting everyone as close to the material he will use as possible. The books must be near the readers and the readers near the librarian and the librarian near the books.

**(d) The Circulation Desk:**

The desk must be centrally located since one staff member may have to handle everything and everybody at one time. The desk must control the entrance. It must be close to the catalogue.

**(e) The Catalogue:**

It must be located in an area easily accessible to the circulation desk, the books, and the readers. It is an area of activity and noise. Allow space for movement around the catalogue.

**(f) Children's Section:**

The Children's section in the library is the gateway to a life-long friendship between children and books. It must be located on the main floor. The area must be accessible from the main entrance and children must pass the circulation desk to reach their section without crossing the main reading room.

**(g) Meeting Room or Conference Room:**

A meeting room is a desirable asset to any library no matter how small it is. Meetings can be held in children's section when no other provision exists. Provisions should be made for the showing of films and slides.

**(h) Reference Areas:**

The reference section in a library is the community's information storage cell. It is important to plan it as a dead-end type of area, with little or no traffic through it to any other part of the library and keep it separate from the popular reading room.

**(i) The Books:**

Arranging books is a primary function of a library. Wall shelving will probably be adequate. Traditional stacks can be added later if the growth of the library's collections require it.

**(j) The Librarian's Office:**

This is the only room in the building where the librarian can find the privacy to work, to interview and to discuss problems with patrons and the staff. The room should be easily accessible from the reading room and conveniently located to the circulation desk and work room.

**(k) The Work Room:**

Locate the work room convenient to the circulation desk and directly accessible to the service entrance. The work room can be combined with staff room while under tighter circumstances.

**(l) The Staff Room:**

The staff room should be located near the work room, on an outside wall with a window and direct access to the staff toilet.

**(m) Public Convenience:**

Public toilets are a general nuisance to the public library. They create supervision problems. They invite non-readers into the library. They require maintenance and up-keep.

They should not be located directly off the main room and should be so located that children have easy access to them. They must be sound proof. A staff room toilet must be included in

the programme. Consider keeping public toilets locked with the key available on request at the circulation desk.

### **3.4.5 Environmental conditions**

No matter how well a building has been designed from the practical and aesthetic point of view, it will never function successfully unless the environmental conditions have been properly considered.

The environmental conditions are created by:

- ventilation
- lighting
- air conditioning
- acoustics

#### **(a) Ventilation:**

Controlled ventilation must be a specific requirement in any modern building. It is preferable to opening windows which create dirt, dust, temperature and noise control problems. The lack of proper ventilation may cause the readers and the staff to become drowsy.

#### **(b) Lighting**

Lighting the library building properly is one of the essential design problems. Light intensity, glare, contrast and shadow control must be given serious consideration throughout the building.

#### **(c) Air Conditioning:**

In a modern library building air conditioning is mandatory. The public often sees it as an expensive luxury, but this is not so, especially when it is viewed in the light of a library philosophy which encourages maximum public use of the facilities, and the preservation of the materials for which it was built.

#### **(d) Acoustics:**

Sounds originate both outside and inside the library building. Sound control in a library building is an absolute necessity and measures to prevent or minimize disturbing noise must be part of the planning.

### **3.4.6 Facilities and equipment**

#### **(a) Telephone Service:**

Telephone location must be shown on the plan by the architect so that the proper conduct can be installed and unsightly wires avoided.

#### **(b) Fire-extinguishing Equipment:**

Consideration must be given to a fire-detection and alarm system. The use of sprinkler system is not recommended.

### **3.4.7 Colour**

A library must be a dignified, cheerful and friendly place. The wrong colours can undo the effect achieved by good space design. Keep the colours of the walls and ceilings in the natural range of white. Let the furnishings and the displays be the dominant colours. The

reading surfaces must be light in colour. Restrict bright colours to small areas. Floor design with marbelised patterns or mixed colours are preferable to simple pure colours, because dirt and wear are less visible and the problems of maintenance are simplified.

### Self-Check Exercise-3

What are the environmental conditions that are to be considered while planning a library building?

- Note: i) Write your answer in the space given below.  
ii) Compare your answer with the model answer given at the end of this unit.

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### 3.5 SUMMING UP

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A plan is a physical expression of a programme, a philosophy, a site, a budget and many other factors. Since no two situations are ever the same, a floor plan properly designed to serve one set of conditions will never result only in a compromise if adopted elsewhere.

In the final analysis, the design for a library building depends on so many varying factors that it is unwise to accept any one standard rule which can be applied in all situations. However, the successful design of a library depends to a large extent on the freedom used by its planners and on their ability to adjust the material at hand to the specific problem. The most important ingredient of a good building is common for the best library, its conception, development and execution becomes an art. The architect should therefore be free to use structure and material as poet uses words, to create beautiful forms and spaces not only to express and attractively house the library functions, but to achieve the environment which is most conducive to learning and to enjoy the wonderful world which the library has to offer.

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### 3.6 MODEL ANSWERS TO SELF-CHECK EXERCISES

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- 1) A library building planning committee is constituted by the librarian, an architect, an engineer, a representative of the library committee, governing board representative and one or two representatives from the users.
- 2) The factors that determine the expansion policy of library building construction are - i) Period of the service of the library; ii) Anticipated developments, and iii) location of site.
- 3) The environmental conditions that are to be considered while planning a library building are - Ventilation, lighting, air-conditioning and acoustics.

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### 3.7 ASSIGNMENT

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- 1) Explain the need and purpose of planning the library building.
- 2) What are the different areas in a library building ?
- 3) Write short notes on the following:
  - a) Functional approach
  - b) Expansion policy
  - c) Environmental conditions

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### 3.8 RECOMMENDED BOOKS

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KAULA, P.N. *Library building planning and design*. Delhi: Vikas publications, 1971.

THOMPSON, G. *Planning and design of library building*. London: Architectural press, 1973.

IS - 1553-1960 *Primary elements in the design of library buildings, code of practice relating to*. (Delhi: Indian Standards Institution)

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### 3.9 GLOSSARY

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**Architect:** One who designs plans for buildings and oversees their construction.

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# UNIT-4 : LIBRARY FURNITURE AND EQUIPMENT

## Contents

- 4.0 Aims and Objectives
- 4.1 Introduction
- 4.2 Furniture and Equipment
  - 4.2.1 Manufacture
  - 4.2.2 Different Items of Furniture
  - 4.2.3 Different Items of Equipment
  - 4.2.4 Furniture and Equipment used in important sections
  - 4.2.5 Description of Important items of Furniture & Equipment
- 4.3 Selection and Acquisition
- 4.4 Standards and Specifications
- 4.5 Summing up
- 4.6 Model Answers to Self Check Exercises
- 4.7 Recommended Books
- 4.8 Assignments

## 4.0 AIMS AND OBJECTIVES

This unit aims to explain you the importance of library furniture and equipment and stresses that the managers of the library should be well versed in identifying the suitable and appropriate furniture and equipment to fit with the library building for comfort and efficiency.

After studying this unit, you should be able to

- describe the furniture and equipment required in a library;
- explain the need for the right type of furniture for the effective working of the library;
- select the furniture and equipment in accordance with the design and specification.

## 4.1 INTRODUCTION

The question of library furniture and equipment should be taken up simultaneously along with the consideration for books, readers and staff. In building as specialised as that of University library, the need of furniture and equipment of individual departments and sections should be given careful attention so that the readers and staff experience ease, comfort, convenience and efficiency in their work.

The library building in itself takes many years to get planned, designed and built. There is a tendency to delay the selection and the ordering of the furniture and equipment which makes the library get going. Consequently, the furniture is not ready when the building is complete. It is the 'principle of simultaneity' which is being pleaded here so that the occupation of the library building does not get delayed.

## 4.2 FURNITURE AND EQUIPMENT

### 4.2.1 Manufacture of Furniture and Equipment

The furniture and equipment play a vital role in the functioning of a library. Generally library furniture is of three types according to their Manufacture, i.e, wooden, metal and plastic. The furniture is available as (i) Stock standard, and (ii) Custom-built.

i) **Stock standard:** The furniture and equipment made available by manufactures according to some standard sizes. Steel and plastic furniture are generally available as stock standard.

ii) **Custom-built:** The furniture made to order in accordance with the specification of a library.

It is advisable to visit some major libraries equipped with standard furniture and fittings and know their experiences before deciding on the purchase of furniture and equipment.

### 4.2.2 Different Items of Furniture

For the sake of convenience and to understand and remember the various items of furniture, important items are listed below:

Reading Tables  
Readers Chairs  
Book Shelves  
Book Racks Single Faced  
Book Stacks Double Faced  
Periodical Tables  
Display Racks  
Pigeon hole cupboards  
Counters  
Step Stools  
Atlas Stand  
Map Stand or Rack  
Umbrella Stand  
Property Counter  
Circulation Counter (Charging Desk)  
Newspaper Desk  
Reference Table  
Research Table  
Cubicle Tables  
Classification Tables  
Catalogue Tables  
Accessioning Tables  
Binders Table  
Counter Height Shelves (Single Faced and Double Faced)  
Officer's tables and chair  
Typist's table and chair  
Revolving Book Rack  
Charging Trays  
Catalogue (Index) Cabinets  
Recent Additions Shelves

Notice Boards  
Display Boards  
Wooden Cupboards  
Steel Almyrahs (Storewells)  
Wall Cupboards  
Book Exhibition Cases  
Book Trolley  
Dictionary Stand  
Bay Guide Boards

#### 4.2.3 Different Items of Equipment

For the sake of convenience and to understand and remember the various items of equipment, important items are listed below:

Kardveyar  
Kardex  
Linedex  
Remdex  
Filing Cabinets  
Microfilm Readers  
Microfiche Readers  
Micro-opaque Card Readers  
Film Projector  
Slide Projector Audiovisual  
Cassette Recorder  
Video Equipment (TV)  
Vaccum Cleaner  
Desk Calculator  
Office Calculator  
Typewriter  
Telephone  
Intercommunication (Intercom)  
Hard press  
Paper Cutting Machine  
Hard Board Cutting Machine  
Gilding Machine  
Backing Machine  
Stitching Machine  
Duplicators (Office)  
Duplicating Machine(Tech.)  
Insect Killing Machine  
Fumigation Chamber  
Electric Stylus  
Microfilming Unit  
Reprographic Unit  
Book Stoppers  
Graphdex  
Fix o graph Boards  
Numbering Machine

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#### 4.2.4 Furniture and Equipment used in Important Sections:

Below are given different items of Furniture and equipment used in important sections of a library:

Section	Furniture	Equipment
1) Acquisition (books and periodicals)	Accessioning Table	Filing Cabinet (to keep files)
	Revolving book rack (to keep reference tools)	
	Wooden Cupboards (to arrange the books received department-wise)	Office calendar
	Book trolley	Numbering Machine
	Periodicals	Kardex
2) Technical	Classifiers table	Duplicating machine
	Cataloguer Table	Electric Stylus
	Wall Cupboards	
3) Circulation	Circulation Counter	Desk Calculator (to collect fines)
	Property Counter (to keep personal belongings)	Kardveyer
	Charging Trays (to arrange charging cards)	
	Catalogue Cabinets	
	Reader's Tables	Remedex (to file Reader's profiles)
4) Reference	Reader's Chairs	Microfilm Readers
	Wooden Cupboards	Microfiche Readers
	Book Shelves	Microopaque card Readers
	Small Counter	
	Step Stool	Microfilming Unit
	Atlas Stand	Reprographic Unit
	Map Stand	
	Dictionary Stand	
	Counter height shelves	
	Reference Table	
	Research Cubicles	
	Tables	
5) Binding	Binders Table (for mending, repairing and binding of books and back volumes of journals)	Hard Press Paper Cutting Machine Hard Board Cutting Machine Gilding Machine Backing Machine Stitching Machine Rounding Machine

6) Reading Hall	Readers Tables Reader Chairs Periodical Tables Pigeon-hole cupboards Newspaper Desk	
7) Stack Area	Book Stacks Book Racks Step Stools Book Stoppers Bay Guide Boards	Vaccum Cleaner Fumigation Chamber Insect-killing machine
8) Extension Activity	Book Exhibition Cases	Film Projectors Slide Projectors Cassette Recorder Video Equipment
9) Office (maintenance)	Office Tables Office Chairs Typist Chair Notice Board Storewells	Typewriter Telephone Intercom Duplicator
10) Computer Section	Computer Tables, Chairs Wooden Cupboards	Computer systems UPS Bar-coding Machine

#### 4.2.5 Description of Important Items of Furniture and Equipment

##### i) Library Stacks

Book Storages are of various types:

- a) Book Shelves
- b) Skeleton Book Racks
- c) Library Stacks

These may be made of wood or steel.

##### (a) Book Shelves:

These are being used at homes where small number of books are housed. These may be hung on the walls or kept on the floor. These may be of various sizes depending upon the needs from two and half feet height and half foot in length. The width may be usually 3' or 3.3' and the depth depends upon the requirements and may be single-faced or double-faced.

##### (b) Skeleton Book Racks:

They are usually made of steel. The slotted angles on four sides will be built and assembled with shelves one at the top and the other at bottom with number of shelves in between depending on the heights of the rack and need. These book racks may have heights ranging from 2' to 10' in length, 6' to 36' in depth and 3' in width. These racks may be used as single or double faced depending on the width of the shelves. The panels of shelves are interchangeable and can be fixed at any stage as the slotted angles have holes at every half foot gap.

### (c) Library Stacks:

Library stacks are sturdy in construction, streamlines, easy to keep clean and make clean. These are ideal for schools, clubs and libraries. They are made of steel. These are protected against rust and corrosion by ultramodern phosphating process and further strengthened with hard-faced enamel finish. Each shelf has built in sturdy side-racks and a sliding book-stopper for (3/4). On both the sides of the unit, two upright stanchions with box type frame are jointed with 3' bracing or connectors, one at the bottom and the other at the top. This unit rack can be extended to any width by adding more units of similar design. Each unit rack on one side will have a range indicator and index pocket, for easier cataloguing and label holder for each shelf for efficient classification.

The height of stacks ranges from 6'-6" to 7'-7" and, if necessary, more heights can also be fabricated as a two-tier with suitable fittings. These stacks are also double-faced one (28 shelves). Each shelf or panel will have two brackets on right and left sides, inserted strongly to shelf ends. Brackets on left and right sides will have two hooks at the rear and to fit into the holes made to the stanchions. These shelves or panels are interchangeable, depending upon the size of documents. The sliding book stopper and backrest fitted to the groove of the individual shelf ensure proper display of books and prevent damage. The narrow vertical slots made to the stanchion with every 1/4" range are meant for immediate shelf adjustments.

The overall specification of the library stacks are as follows:

#### Dimensions:

Overall Height: 2285 m.m

The bottom half foot or 6" should be left for ground clearance.

#### Sectional lengths:

Total length: 1,865 m.m

This is measured from end to end pillar. Actual length of panel: 855 m.m. (33 3/4").

Overall Width: 355 m.m. for single-faced.

560 m.m. for double-faced.

Actual Width of Panel: 222 m.m.

#### ii) Vacuum cleaner:

This is an electrically operated equipment mostly used in the institutions to clean dust particles.

In a library where dust accumulated on the books as well book stacks, they have to be cleared and cleaned periodically to keep those objects clean and tidy. This is a part and parcel of the maintenance section of the library.

The main equipment consists of motor operated electrically. There are two types of operations, one is blowing out the dust and the other is sucking the dust. This handy portable equipment fixed with a belt to be carried on shoulders will have a 6' hose pipe fixed with a 10" nozzle, to operate the twin functions of sucking and blowing out dust. While sucking the dust it will accumulate at the other end where a cloth bag is attached and the same will be cleared periodically.

The advantage of this equipment is that the breeze is forcibly pumped out through the nozzle to clean the shelves without removing them physically every time. This type of dusting will substitute the process of dusting with a cloth piece or brushes to avoid delay. In big libraries where lakhs of books are housed and hundreds of book racks are arranged, vacuum cleaners alone are the only equipment to be used for dusting.

### iii) The Lindex:

This is indigenously manufactured.

This is an equipment meant for periodical section in the library. This will facilitate to have, at a glance, a list of periodicals subscribed to by various department, as a whole, subscribed to by the library.

The equipment consists of three main parts, namely:

(a) A sturdy square base.

(b) A strong, circular pipe with approximately 1 foot length, revolving on a ball bearing wheel with a knob at the top.

(c) The series of panels fitted to the circular upright roller.

- (1) Each panel is of 1' in length and 8" in width. This sheet of panel will have a grooved frame on either side and at the top right and 1 sq. inch index piece.
- (2) The journals that are subscribed are typed on perforated strip sheet (made only for this purpose) are inserted on the sides of the panel frame.
- (3) Depending upon the addition and deletion of the journals subscribed to the perforated strips can be inserted and stripped off, as the case may be.
- (4) The index frame will have the name of the Department for which the journals are subscribed to.

(A) User, at a glance, can have mental assessment of the number of journals that are subscribed to by the department and can make further enquiry later.

### iv) Periodical Display Rack

Libraries usually subscribe to periodicals in addition to the books acquired. Just as the books are arranged on shelves in a particular order, also the current periodicals are displayed subject-wise for easy consultation and reference by the users.

These display racks are of three types:

1. Pigeon hole type ; 2. Step type and 3. Inclined type.

In the Pigeon hole type, there are two parts. One is cupboard in the bottom and the other pigeon hole at the top. The overall height, width and depth are 7'-6" x 3'-0" x 1'-00" (top) and 1 1/2' (lower portion) respectively. Each unit of this type will hold 36 journals in the pigeon hole part and the back issues of the same in the cupboard part. The disadvantage in this is, the journals cannot be displayed prominently, so as to be seen by the readers.

The second type (Step type) is better one than the first one in the sense that the journals can be displayed prominently so as to see the title part. The overall height, width and depth are 6' x 3' x 1 1/2' (bottom) and 6' (at the top) respectively. This will have four or five steps, holding 25 journals if it is single-faced or 50 journals if it is double-faced. The disadvantage in this is immediate back issues cannot be accommodated within the same shelf.

The third type (Inclined type) is more advantageous than the other two referred to above. The overall height, width and depth is 6'-6" x 4' x 2'-2" respectively. This is a box type shelf with horizontal shelves, partitioned with four vertical, individual, hinged, wooden panels with an inclination of 30° to the shelf plank, to give or to project better display and face-lift for the entire journals. As the individual planks are hinged ones, it can be lifted easily and the immediate back issues of the respective journals can be accommodated in that area for easy reference. The bottom edge of each inclined plank will hold a 1 1/4" wooden bead for resting journals. The entire rack will hold about 20 to 25 individual titles of the journals. All the modern libraries are equipped with this kind of sophisticated display racks for better display and use.

#### v) Book Trolley

An ordinary book shelf made of wood or steel mounted on wheels with Books in them is called Book trolley. Depending on the number of books to be carried and the weight it can withstand, the number of wheels to be fixed are suggested. Usually, the book trolley would be 3'-6" ht., 3' wide and 20" deep with two faces, double-faced or single-faced, with a handle on either both sides or on one side only. This entire book trolley will have two or three partitions to carry limited number of books at a time from one place to another place. The book shelf is mounted on four wheels, which size may range from 4" to 9". These wheels are not ordinary ones made of steel or iron, but they are specially made with a ball-bearing mechanism to have easy rolling movement. The type of wheels (castors) are mostly swiveled type (movement of the wheel any side quickly and easily), when the trolley is moved or pushed.

The book trolley is used commonly in the library for moving books from circulation section to stack areas; order section to technical section and from technical section to stack area, and also at times within the stack area to different book stacks. Every library should have few book trolleys for easy movement of books.

#### vi) Charging Desk (Issue Counter)

Issue counter is an expensive item of furniture and cannot be replaced very often. Therefore, much thought and calculation should go into estimating the requirements for charging and discharging of books and into deciding upon the size and design of the counter.

Issue counter has to perform four functions:

- 1) Registration of new readers.
- 2) Charging or issue of books.
- 3) Discharging or receiving books back.
- 4) Reservation of books lent out.

Obviously enough, the counter should also have adequate shelving space to keep the books which are returned. And if the counter has also to be used as reference desk (in small libraries) where the same library assistant has to perform both the jobs there should be a few extra shelves to keep important ready reference books.

There should be enough drawer space to file book cards of all the books lent out. The space should be quite generously provided and the possible future increase in book issue should be taken into account. These drawers should be able to accommodate the book cards used in the library. The drawers also should be as near the seat of the clerk preferably on his right hand side. If issue and return are to be administered separately, the drawers should be provided near both the seats.

**Dimensions:** The height of the counter facing the reader should be 40". The width at the top is usually kept 26 to 28 inches. Adequate knee space should be provided at all the places where assistants have to sit and work. There also should be foot-rest to make sitting comfortable for longer hours.

**Design:** It is difficult to suggest the exact length and design of the counter which may suit every library. There are various designs in vogue: rectangular, with only one door (recommended by the I.S.I); L-shaped; U-shaped, etc. Whatever design is selected, it is better to have the counter in small units of 3 feet each. The units may be bolted together or just placed adjacent to each other to give the illusion of one piece. The unit type counter is easy to shift from one place to another, and also can be extended whenever need arises.

A sleek elegant and functional counter should be preferred to a huge monolithic monster. Avoid having railings at the top which serve literally as a screen between the readers and the librarian. Glass screen create cold formality become dirty and prove a hindrance to easy conversation in low tones. Easy exchange of books also is not possible. It is surprising that I.S.I. has recommended a glass screen all around the counter.

The top should be either hard well-polished wood or should be covered with linolium or laminated plastic.

#### vii) Wicket Gate:

Some libraries have a wicket gate near the counter to control the traffic for security reasons. The wicket gate, however, is not an effective check for unscrupulous readers. After a period of time, it simply does not work. It is better to have a janitor permanently at the gate. In India, where labour is comparatively cheap it is not difficult to afford a janitor.

#### viii) Kardex:

This is also an equipment used in periodical section to have a journal control system. This is a visible record system provided with all the advantages over other visible systems. This modern management control will have the following advantages:

a) **Speed:** Kardex system provides maximum speed of reference to a particular card or group of cards because all titles and other pertinent information is always visible. Posting is quick and easy.

b) **Centralisation:** All related data is housed in one pocket on different cards to increase fact for speed decision making and action.

c) **Convenience:** Effortless slide withdrawal and perfect pocket layback makes operations a pleasure. Slides can be completely removed from the assembly. Records can be kept on correct sequence by change of pockets.

d) **Protection:** Cards are housed in protective pockets with transparent celluloid tips and so remain clean, flat and do not "dog-eared", through constant use. Likewise, as it is unnecessary to remove them, they do not misplaced.

e) **Control:** Vividly colored signals along the title, highlight vital facts (contained within the records), requiring executive action.

f) **Savings:** Increased clerical output and a vast-saving in time means your investment is wise one. Lower costs and greater profits are available.

This equipment is also ideal for business firms, viz, banks, bookshops, departmental stores, clubs, government, hospitals, insurance records, and allied organisations besides libraries.

They are also perfect in so many applications, namely current periodicals records, borrowers records in the libraries, insurance records, materials control, production control, signature records, etc.

#### ix) Catalogue Cabinet:

Catalogue cabinet is quite complicated piece of furniture and must be made by an experienced carpenter out of highly seasoned wood. Ready made cabinets are also available with dealers of library equipment and furniture but these are somewhat expensive.

Care should be taken to ensure that:

1) The dimensions, especially of the inner side of the drawers, are accurate. The drawer should not jam and should move with ease.

2) The whole structure, including the drawers should be sturdy and made of hard wood like teak, the wood used should be highly seasoned so that drawers do not get stuck during the rainy season.

3) It is better to have a modular cabinet rather than a big single piece structure having hundreds of drawers. The standard recommended by the I.S.I. is of 24 drawers. It should easily be of 30 drawers. Whatever size is selected, all the units should have the same number of drawers.

Dimensions: The stand should be 24 inches high from the ground and the height of the cabinet should not exceed 5 feet from the ground. This can accommodate six trays vertically and five trays horizontally.

The recommended size of each tray is 12.8 x 7.8 cm, to hold 12.5 x 7.5 cm catalogue cards. The inner breadth of the tray has to be a little more than that of the cards to allow easy movement of the cards and the inner height a little less so as to project the cards up for easy consultations. The length of the tray is usually 40 cm. or 16 inches. Each tray can hold about 1000 cards of medium thickness. Each tray should have:

- a) A rod to hold the cards in position;
- b) Handle for pulling out trays conveniently;
- c) Gravity action tray-catch to prevent the drawer from falling out;
- d) A wooden angle block inside the tray to keep the cards upright;

Steel catalogue cabinets may be avoided, as they are noisy, dull looking and expensive.

#### Self-Check Exercise-1

- (a) List of various types of periodical display racks.

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

- ii) Compare your answer with the model answer given at the end of this unit.

(b) What are the advantages of 'Kardex' in serial control?

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### 4.3 SELECTION AND ACQUISITION

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The following factors may be taken into account in the selection and acquisition of furniture and equipment for the library:

- A) Flexibility of arrangement is desirable. Built-in-furniture and equipment such as catalogue cabinets, exhibition cases and loan desks should be avoided as these are not easily moved or expanded in the furniture.
- B) Whenever it is possible, book shelving should be standardised so that the parts are easily interchangeable. The equipment as well as furniture should also be purchased in groups of uniform sizes. Tables, chairs, counters and desks lend themselves to such treatment.
- C) Comfort, beauty and variety are important in the selection of furniture and equipment, but these need not be divorced for economy of maintenance.
- D) Comfort, durability and variety should be sought in furniture although the quality of durability should apply generally to equipment as well.
- E) Colours and materials should be so coordinated as to provide an attractive and inviting atmosphere in harmony with the purpose of the library.

The selection of furniture is directly related to its intended function and location within the library. It must fit the environment and achieve a character suitable for the purpose it serves. Therefore, it must be selected by the right person. Thompson is of the opinion that the Librarian should always choose the shelving, catalogues, and technical equipment and the architect should choose the chairs and tables, because these are the wares with which he is concerned throughout his professional life.

In the matter of selection of furniture, mutual consultation is perhaps even more important than the decisions as to who makes the choice. The architect chooses tables, but the Librarian is vitally interested in their stability wearing quality of the tops and so on; similarly the librarian chooses the catalogue cabinets but the architect is very much concerned with the shape, material and colour because of their effect on the interior design and the cost. If for reasons of economy,

or the design, the architect recommends the purchase of furnishing from a single proprietary range, the Librarian wants to inspect every item in that range before agreeing. As furniture and equipment commonly account for between 10 to 15% of the total cost of the library building, this is obviously not a matter to be treated lightly.

Since furniture and equipment are very important and forms an integral part of a University Library building, general policies to their regard should be agreed upon at fairly early in the planning process. Metcalf recommends the appointment of a library furniture and equipment selection team which would consist of one member of University administration some one looking after the building maintenance, the librarian, the architect, the interior designer, a representative of the building planning committee, and a consultant.

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#### 4.4 STANDARDS AND SPECIFICATIONS

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After five years of continuous tests, trials and experience, the librarian, the architects and the interior designers have been able to develop certain standards and specifications for library furniture and equipment. There are many obvious advantages of having furniture of standardised dimensions in a library. The sign of its proving uncomfortable, unfunctional and useless quality is avoided. Functional efficiency is secured with ease and convenience and with least ado on the part of the library administrator.

Bureau of Indian Standards (formerly Indian Standards Institution) had done pioneering work in bringing out specifications for library furniture. Its standard IS:1829 (1961) 'Specifications for library furniture and fittings, Part-I: Timber' was inserted in 1961. It covers only a few items of furniture and that too not all of their aspects. It was revised in 1978. The dimensions of different items of furniture have been modified and the size and shape of the control region altered, for optimum utilisation of space. Specification for classification table and accession table have been delayed.

The second standard IS:1829 (1977) 'Specifications for Library furniture and fittings, Part-II: Steel' was adopted in 1977 and deals exclusively with the steel furniture required in the library. There is a great need for a comprehensive standard for library furniture as we find in other developed countries. It is learnt that the National Institute of Designs has done a considerable good work in designing functional library furniture but it has not been published as yet.

Since the emphasis is on the practical aspect, the students need not study this chapter as a theoretical one, but enough if they understand the specification of each item, so that as practicing librarians, they can entrust the work with confidence and extract the product nicely to the specification of users concerned.

It is not possible to list out all the items and their individual specifications. Hence the most important items that are normally considered essential for any modern library is listed in Section 4.2.

The items of furniture differ from library to library mostly on the basis of the type, size, purpose, resources and objectives for which the library is established. Besides ISI, BSI, and other national standards institutes which release periodically the details of the specifications of furniture, there are so many publications which clearly gives idea about them. So the student need not feel disappointed when a particular piece of furniture is not listed out.

There are good number of publications in USA, UK and other European countries on this topic but they are not much useful to our Indian situation and context. Hence it is advised

that the students should be acquainted with the books and publications that are listed under reference, which would give a fair idea about the furniture and equipment that should be essentially equipped in any library.

The librarian should observe meticulously all the catalogues(illustrated brochures or documents) relate to furniture and fittings with their detailed specifications. The following firms (suppliers) deal with library and their catalogues may be perused.

- (a) M/s. Godrej & Co., Bombay.
- (b) M/s. Vinar Systems, Calcutta.
- (c) M/s. Curzon & Co., Madras.
- (d) M/s. Mehra & Co., New Delhi.
- (e) M/s. Remington Rand & Co., Calcutta.
- (f) M/s. Methodex Ltd.

### Self-Check exercise-2

List the standards recommended by Bureau of Indian Standards for timber and steel furniture.

- Note: i) Write your answer in the space given below.  
ii) Compare your answer with the model answer given at the end of this unit.

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### 4.5 SUMMING UP

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In this unit, we have studied about the furniture and equipment used in libraries. Library furniture consists of book stacks, periodical display and storing racks, catalogue cabinets, circulation counter, and other furniture for the staff and readers. The furniture provides not only functional efficiency, but also provide comfort, aesthetics and appearance. The librarian should see that the furniture and equipment are in accordance with the specification and standards before acquiring them.

The library equipment consists of xerox machines (Plain paper copiers), microform readers-printers, kardex, filing cabinets, vacuum cleaners, telephone, telex, TV/Video recorders, etc.

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### 4.6 MODEL ANSWERS TO SELF-CHECK EXERCISES

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- 1(a) The periodical display racks are of three types:
- i) Pigeon-hole type.
  - ii) Step type.
  - iii) Inclined type.

1(b) 'Kardex' is a vital record system used in serial control. Its advantages are:

- i) **Speed** in retrieval of information.
- ii) All related data about a periodical is at one place (**Centralization**).
- iii) **Convenience** in slide withdrawal.
- iv) Cards are **protected** in pockets.
- v) **Saving** of labour and time.

(2) The standards recommended by Bureau of Indian Standards for timber and steel furniture are:

- i) *Specification for library furniture and fittings: Part-I: Timber (IS-1829-1978) (First revision)*
- ii) *Specification for library furniture and fittings : Part-II : Steel (IS-1829-1977)*

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#### **4.10 RECOMMENDED BOOKS**

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1. RAJWANT SINGH. **University Library Buildings in India**. Delhi: Academic Publications. (Chapter 7)
2. SHARMA, H.D. **Library Building and Furniture**. Jullunder: India Bibliographic Centre. (Part-II, p. 83-104) (1972).
3. University Grant Commission(India). **Library Committee Report**, 1958. p, 14-15.
4. Bureau of Indian Standards:

IS-1829-1978 **Specification for Library Furniture and fittings**. Part-I: Timber.

IS-2672-1966 **Code of practice for library lighting**.

IS-4116-1976 **Wooden shelving cabinets (adjustable type) (First revision)**

IS-2695-1974 **Drawing filing equipment (First revision)**.

IS-1883-1975 **Metal Shelving racks (adjustable type) (Second revision)**

IS-3312-1974 **Steel Shelving Cabinets (adjustable type)**

IS-3313-1974 **Steel Filing cabinets for general office purposes (First revision)**

IS-1829-1977 **Specification for library furniture and fittings. (Part-II) : Steel**.

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#### **4.11 ASSIGNMENTS**

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- 1) Draw a sketch of a Library Issue Counter (Charging Desk) for a college Library.
- 2) Mention a detailed specification for a 12-drawer Catalogue card cabinet.
- 3) Whether you prefer furniture made of wood or steel? If steel what are the reasons? If wood, why do you prefer?

## **UNIT-5: ORGANIZATIONAL STRUCTURE OF LIBRARIES**

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### **Contents**

- 5.0 Aims and Objectives
- 5.1 Introduction
- 5.2 Purpose of Organizational Structure
- 5.3 Different types of Organizational Structures
  - 5.3.1 Bureaucratic Structure
  - 5.3.2 Departmentalization
  - 5.3.3 Project Organization
  - 5.3.4 Network Structure
- 5.4 Principles to be followed in the process of Structuring
- 5.5 Organizational Chart
- 5.6 Summing Up
- 5.7 Model Answers to Self-Check Exercises
- 5.8 Assignments
- 5.9 Recommended Books

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### **5.0 AIMS AND OBJECTIVES**

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Library management is the process that involves organized activities. An organizational structure is built around the analysis of activities, responsibility for decisions, and relationships which enable attainment of objectives. In this unit we will study the process and principles of organizational structure in some details.

After studying this unit, you should be able to:

- Explain the process of organizational structure.
- Know different types of organizational structures.
- Discuss the principles that help in creating organizational structure.
- Draw organizational charts showing the interconnections, interrelations and interdependence of different units.

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### **5.1 INTRODUCTION**

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The terms 'organization' and 'organizational structure' are quite often used interchangeably. But a detailed analysis of the terms reveals the difference. An organization is defined as a cooperative endeavour of individuals to achieve an objective. Whereas the organizational structure specifies the roles of the individuals, their relationships, authority and responsibilities. The structure emerges out of organizing process and governs the activities of people.

An efficient organizational structure that helps in achieving planned goals and objectives of the organization is not easy to develop. Also it should not be considered as permanent. There are certain principles and characteristics that help in designing the structure and avoiding

common mistakes that occur in the process.

This unit discusses the purpose of organizational structures and the principles and characteristics that form the bases for them. The graphic presentation of structures for public, academic and special libraries brings clarity and helps to understand the concept.

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## 5.2 PURPOSE OF ORGANIZATIONAL STRUCTURE

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In their long history libraries have accumulated set conceptions of functions and adopted rigid methods which are not conducive for efficient working in the present environment. Libraries are becoming larger and larger involving more and more people and are encountering complex problems.

The main purpose of organizational structure is to bring order out of chaos, remove conflicts between people about the work and responsibility and create an atmosphere for teamwork. It ensures both horizontal and vertical coordination between different units of the library. An organizational structure brings together necessary resources and arranges personnel so that work can be accomplished most efficiently.

Human nature being what it is, cooperation sometimes does not come easily. But a proper organizational structure lets everyone know what they are supposed to do. It clearly specifies duties of each individual and thus confusion and uncertainties are reduced. Authority, responsibility and accountability become known to everybody. Thus performance of the organization is greatly improved.

### Self-Check Exercise-1

What is the purpose of organizational structure?

Note: i) Give your answer in the space provided below.

ii) Compare your answer with the model answer given at the end of this unit.

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## 5.3 DIFFERENT TYPES OF ORGANIZATIONAL STRUCTURES

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If we study the evolution of organizational structures in different organisations like army, government, industry, libraries etc. We come to know the four types of structures; (a) Bureaucratic (b) Departmentalization (c) Project Organization, and (c) Network structure.

### 5.3.1 Bureaucratic Structure

This was the earliest form of structure to develop. It is mostly followed in governmental organizations including libraries. Weber (1947) has given the following features of bureaucratic structure:

- i) Control and supervision through a hierarchy of positions with authority and responsibility.
- ii) Systematic division of labour based on specialization,
- iii) Framing of rules and regulations that ensure uniformity, coordination, continuity and stability.
- iv) Impersonal relationship and unbiased execution.

Although this type of organizational structure has come to stay, but we notice in practice it has become dysfunctional. Red-tapism and delays could be mentioned as major disadvantages of this structure.

### **5.3.2 Departmentalization**

This structure involves a rational grouping of activities into different departments/sections with the authority diminishing hierarchically lower down in the line. It has been universally accepted that such grouping of activities into different units yield best results. But the characteristics used for division should be relevant to the purpose.

In unit 1 & 2 we have briefly described the criteria that are followed in departmentalization of libraries. They have been discussed in more details here.

#### **Characteristics of Departmentalization:**

Different organizations follow different characteristics for groupings activities into different units. These characteristics have been discussed below with particular reference to libraries.

##### **a) Functions:**

The majority of libraries use this characteristic for designing their structure. Different departments in a library such as acquisition, technical services, circulation, reference service, etc., are based on function method.

##### **b) Territory:**

Public libraries use this method for their structural design and create a system. For instance in many states such system comprises of State Central Library, Regional Libraries and District & Branch Libraries.

##### **c) Users:**

This method of organization is again used in public libraries. Separate services are provided to user groups like children, blind persons, physically handicapped, women, etc. Such divisions help in meeting special needs of those categories of users.

##### **d) Form of Resources:**

The basis for departmentalization in libraries could also be forms of materials, eg. maps, reports, periodicals, machine readable forms, microforms, etc.

##### **e) Process and Equipment:**

Libraries use this method for organizing different units, such as binding, photographs, audio-visual materials, etc.

### f) Subjects:

University and large Public Libraries use this method for organizing the departments viz., humanities, social sciences, sciences, etc. This type of organizing is useful for providing in depth reference service. It calls for subject background on the part of the staff.

In addition to above mentioned characteristics, others like, products, languages are also used for forming departments. But subject territory, functions and form of materials are most commonly used methods in libraries.

Notwithstanding the methods of departmentalization mentioned above, it is noticed that there are advantages and disadvantages associated with each of them. Therefore, the Chief Librarians (Managers) need study thoroughly the tasks to be accomplished, people involved in accomplishing them the users served and external environment and design suitable departmentation.

### 5.3.3. Project Organization

When special projects are taken up, the bureaucratic or departmental structures will not be able to cope with its management. The project organization method has thus evolved. It will be based on horizontal and diagonal relationships. The project manager is given full authority and responsibility for planning, organizing and completing the project. Once the project is completed, the structure either becomes defunct or is merged with the functional organization of the structure.

### 5.3.4 Network Structure

This type of structure becomes significant in as much as it provides opportunities to libraries in sharing resources, expertise and functions. It is seen that more and more cooperative networks are coming into existence in recent time.

#### Self-Check Exercise-2

List different types of organizational structures. What are the main features of bureaucratic structure.

Note: i) Give your answer in the space provided below.

ii) Compare your answer with the model answer given at the end of this unit.

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## 5.4 PRINCIPLES TO BE FOLLOWED IN THE PROCESS OF STRUCTURING

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We have discussed above various types of structures and their characteristics. But we need bear in mind that irrespective of the types, the success of different organizational structures depends on following certain useful principles of management. In Unit-1 of Block I these principles have already been discussed. Here, only those principles that are relevant to designing organizational structures have been mentioned. They are;

- i) The Scalar principle
- ii) Delegation of authority
- iii) Centralization and decentralization
- iv) Unit of command
- v) Span of control
- vi) Line and staff
- vii) Functional Authority
- viii) Coordination and integration

A brief description of these principles is provided below.

#### **i) The Scalar Principles and the Vertical hierarchy**

The scalar principles emphasises the point that in every organization there will be a ultimate authority. It is necessary to create a line of authority for effective organizational functioning. The subordinate should know to whom he is responsible. He should understand clearly his authority in relation to other employees.

In the process of ranking of organizational units the vertical hierarchy develops. In any system the hierarchy of persons or things ranked one above the other, resulting in the ultimate authority at the apex.

In a library the Chief Librarian will be the ultimate authority. The Dy. Librarian, Assistant Librarians, Library Assistants etc., constitute the line of authority.

#### **ii) Delegation of Authority:**

In any large and complex organization, no one person would be able to manage it all alone efficiently. Delegation of responsibility becomes absolutely essential. Delegation is the transfer of authority within prescribed limits. Human nature being what it is, cooperation sometimes does not come easily. But delegating authority and structuring work flow help bring about willing cooperation. Library is a social system, where such cooperation is a dire necessity. Delegation, therefore, is a means in organizing or structuring the library. The process of delegation involves the consideration of the following points:

- a) The determination of the results expected
- b) Assignments of tasks
- c) Delegation of authority for accomplishing these tasks and
- d) The holding of people responsible for failure.

#### **iii) Centralization and Decentralization:**

This is another aspect that need to be taken into consideration while designing the structure. The Chief Librarian (Manager) should clearly conceive, how much decentralization should take place and how far down it should extend? In libraries, the reality of day-to-day operations makes it obligatory to introduce a well thoughtout decentralization.

Generally in library operations such as acquisition, technical processing reprography etc., could be centralized, whereas book-selection and service activities need be decentralized.

The factors that play important role in decentralization are managerial philosophy, staff abilities and costs involved.

#### iv) Unity of Command:

This principle implies that each employee in an organization should be responsible to and receive orders from only one supervisor. Dual authority creates confusion and diffusion of responsibility.

Such situations could be avoided by defining staff authority properly, increasing the role of staff authority and clearly deciding the responsibilities of staff and functional authorities.

#### v) Span of Control:

One important element in organizing process is to gauge properly as to how many persons that an individual can supervise, control and manage efficiently. Organizing is a sharing of authority and responsibility. With sizable growth and expansion, libraries have become complex organizations. No one therefore is capable of making all the decisions all alone.

Span of control denotes the degree of delegation and sharing and deciding about reasonable number of subordinates one could supervise. The criteria used to determine the number are; assignment given and time involved in communication. According to management experts the number of employees one could direct successfully range between 4 and 8.

#### vi) Line and Staff Positions:

The concept of line and staff has been in vogue for many years, but it still causes friction and difficulty. Therefore this concept has to be understood in proper perspective.

Line positions are concerned with the primary objectives of the organization. They are held responsible and accountable and constitute the part of regular structure at different levels of the organization. Where as staff positions are created to provide advice, support and service to the line positions, when libraries grow larger. These staff positions are extremely important. Individuals with specialized expertise and skills are appointed as staff, particularly those who can deal with the matters relating public relations, systems, planning, personnel, etc.

#### vii) Functional Authority:

Functional authority is the supervisory power exercised on a unit by a position outside the organizational unit. In libraries, functional authority frequently develops in the area of specialists who work with children, young adults, etc. These specialists are called "Coordinators", regardless of their title. They are expected to train the librarians in the unit in their specialities. The functional authority should take care and see that the principle of unity of command is not violated.

#### viii) Coordination and Integration:

In large libraries, creating different units is necessary for ushering in required efficiency and achieving the objectives. But those units should not work in isolation. They should understand that they are interconnected and interdependent both horizontally and vertically. The success of system depends on their cooperation and coordination and integration of different functions.

#### Self-Check Exercise-3

Enumerate the principles that underlie the creation or organizational structure in a large library.

Note: i) Give your answer in the space provided below.

ii) Compare your answer with the model answer given at the end of this unit.

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### 5.5 ORGANIZATIONAL CHART

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In the previous sections, we have discussed elaborately the principles that need to be considered for creating systematic organizational structure, its purpose and different types of structures. It will be appropriate and help in better understanding of the structure if organizational charts are drawn for different types of libraries. Such charts will clearly indicate the flow of authority and accountability, the area of jurisdiction over functions, and interrelationships. We will be able to get overall picture of the structure. Three charts representing Public Library System in Andhra Pradesh, a University Library and a Special Library have been given below:

BRAOU

OF BRAOU  
LIBRARY

Acc. No: CM-0020  
Class No: 2004  
J.T. 76

# ORGANISATIONAL STRUCTURE OF ANDHRA PRADESH PUBLIC LIBRARY SYSTEM

## GOVERNMENT OF ANDHRA PRADESH

Andhra Pradesh Granthalaya Parishad

Department of Public Libraries

Government Libraries Aided Libraries

City Granthalaya Samstha,  
Zilla Granthalaya Samstha

State Central Library Managed by

City Central Library &  
District Central Libraries

- i) Voluntary Organization
  - ii) Corporation
  - iii) Municipalities
  - iv) Panchayats
- &
- v) Cooperative Societies

State Regional Libraries

Branch Libraries (Mandal Libraries)

Mobile Library (Eluru)

Mobile Libraries

Village Libraries

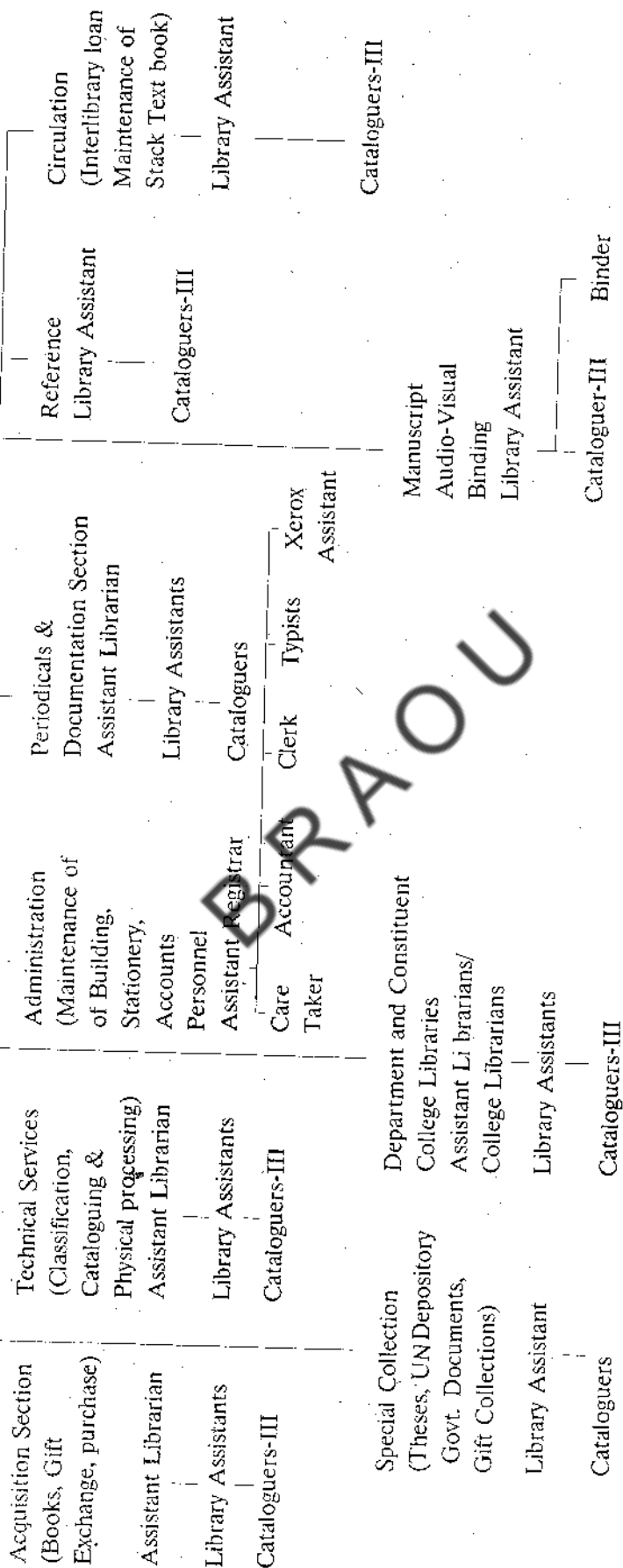
Book Deposit Centres

## ORGANIZATIONAL CHART OF A UNIVERSITY LIBRARY

Library Committee

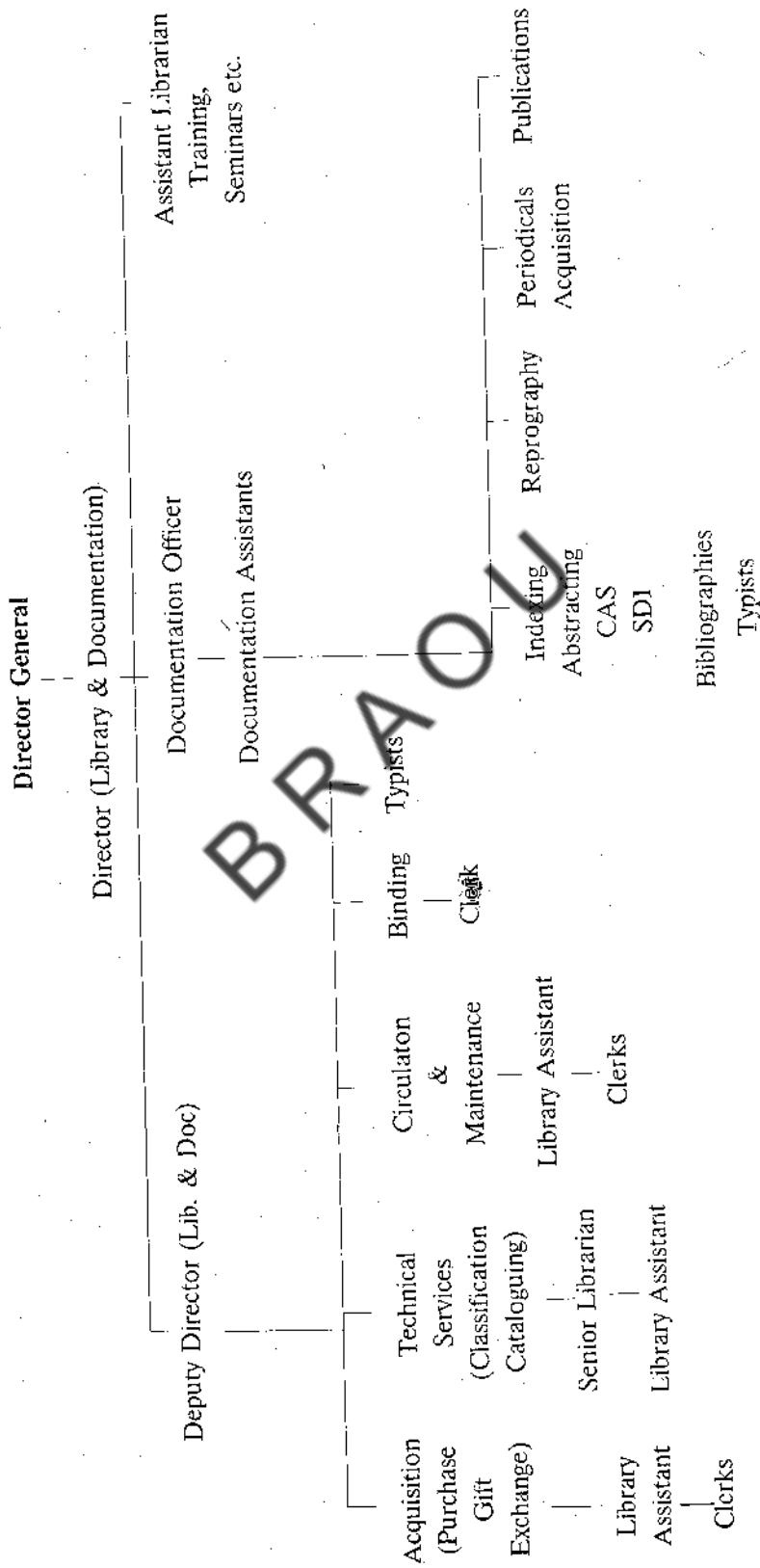
University Librarian

Deputy Librarian



Note: Cataloguer-III is equal to Jr. Library Assistant

# ORGANIZATIONAL CHART OF A SPECIAL LIBRARY



Source: NIRD Library, Hyderabad

#### Self-Check Exercise-4

What purpose an Organizational Chart serves.

Note: i) Give your answer in the space provided below.

ii) Compare your answer with the model answer given at the end of this unit.

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### 5.6 SUMMING UP

Any formal organization is expected to function on the deliberate assignments of tasks, functions, responsibility and authority. The Organization is nothing but an organism or structure of integrated units. Proper structuring of Units results in greater productivity and attainment of organizational goals. It specifies how the division of work is to be done. It also indicates organisation's hierarchy and authority. A good and well planned structure provides stability and continuity to the organization and helps it in dealing with internal and external environment confidently.

This unit has discussed in detail the purpose of organizational structure and principles that underlie the process of structuring. The different types of organizational structures have been explained. To provide better perspective organizational charts for different types of libraries are given

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### 5.7 MODEL ANSWERS

1. The Organizational structure serves the following purposes:
  - i) Helps remove conflicts between people about the work and responsibility.
  - ii) Creates an atmosphere for team work
  - iii) Ensures horizontal and vertical coordination between different units.
  - iv) Integretes all resources and personnel and helps accomplish goals.
2. There are four types of organizational structures: (i) Bureaucratic, (ii) Departmentalization, (iii) Project Organization and (iv) Network Structure.

The main features of bureaucratic structure are:

- i) Control and supervision through a hierachy of positions.
- ii) Division of labour based on specialization.
- iii) Framing of rules and regulations for bringing in Uniformity and Coordination, Continuity and Stability.

iv) Impersonal relationship and unbiased execution.

3. The Principles that underlie an organizational structure are:

- i) The scalar principle
- ii) Delegation of authority
- iii) Centralization and Decentralization
- iv) Unity of command
- v) Span of Control
- vi) Line and staff positions
- vii) Functional authority
- viii) Coordination and integration.

4. The purposes an Organizational chart serves are:

- i) Provides visual picture depicting horizontal and vertical divisions
- ii) It indicates clearly flow of authority area of jurisdiction and interrelationship
- iii) Guides top management in rational distribution of personnel.

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### 5.8 ASSIGNMENT

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1. Visit any large library and draw its Organizational chart.

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### 5.9 RECOMMENDED BOOKS

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1. Evans, G. Edward. *Management techniques for Librarians*, 2nd ed. New York: Academic Press, 1983.
2. Stuart Robert D. and Morgan, Barbara B. *Library Management*. 3rd Littleton, Colorado: Libraries Unlimited, 1987.

## **Block - III : LIBRARY GOVERNANCE**

This block deals with library governance. The system of administration to control and regulate the activities of libraries has been explained. There are six units (unit numbers 6 to 11) in this block.

The first unit of this block entitled as 'Library committees' discusses the role of the library committee in framing policies, designing plans and programmes and supervision of the overall activities of the library.

The second unit explains the need for the importance of rules and regulations in the library for its successful functioning. A set of rules followed in a university library and special library has been appended.

The third unit deals with personnel management in libraries and discusses the need for manpower in the libraries, how to recruit, train and use manpower in achieving the library's aims and objectives.

The fourth unit 'Financial management in libraries' emphasises the need for finance in the library and explains various sources of finance in different libraries and methods of estimation of library finance.

The fifth unit is on Library statics and records. The unit explains what is meant by statistics, sources of library statistics, processing and analysis, kinds of statistics maintained in different sections of a library and their purpose.

Preparation of annual reports has been explained in the last unit of this block. The meaning, need, purpose and preparation of annual report are explained. A draft annual report of a university library is also provided.

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## **UNIT-6 : LIBRARY COMMITTEES**

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### **Contents**

- 6.0 Aims and Objectives
- 6.1 Introduction
- 6.2 Library committees
  - 6.2.1 Need and purpose of Library Committee
  - 6.2.2 Types of Library Committees
  - 6.2.3 Functions of Library Committees
  - 6.2.4 Advantages of Library Committees
  - 6.2.5 Disadvantages of Library Committees
- 6.3. Role of Librarian in Library Committee Meetings
- 6.4. Committees in different type of Libraries
  - 6.4.1 University and College Libraries
  - 6.4.2 Special Libraries
  - 6.4.3 Public Libraries
- 6.5 Summing up
- 6.6. Model answers to self-check exercises
- 6.7 Assignments
- 6.8 Recommended Books
- 6.9 Appendix

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### **6.0 AIMS AND OBJECTIVES**

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Library Committees have been widely recognized as an important mechanism for promoting coordination and cooperation, problem solving and decision making, and incorporated into the organizational structure of Libraries.

We will discuss in detail all aspects of Library Committees in this Unit.

After studying this unit you should be able to:

- Explain the need and purpose of Library Committees
- Identify different types of Library Committees
- Describe the functions of each type
- Weigh the advantages and disadvantages of the Committees
- Describe the role to be played by the Librarian in arranging Committee Meetings
- Describe the functions of Committees in University, Special and Public Libraries.

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### **6.1 INTRODUCTION**

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For the scientific management of modern complex organizations including libraries, Committees have become indispensable organs. They act as modifier to the hierarchical organizational system. Particularly in libraries, where organizational structures cut across various departments and sections, Committees play a very important role. Committees provide means to bring a wide variety of knowledge and experience to the operation of libraries. They help libraries in

stimulating the interest of the user community and keeping in touch with it. Some Library Committees are statutory, while others are standing or adhoc in nature. Depending on their nature, these committees are responsible for providing policy guidelines, advising and making recommendations relating to different activities and programmes of the library.

In this unit we describe as to how different types of committees contribute to the growth, development and operation of libraries and help in achieving their objectives.

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## 6.2 LIBRARY COMMITTEES

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Library committees are constituted in accordance with the provision of statues and acts. In India all existing Public Library Acts and Statues of Universities contain such provision which provide details about the consitution of committees and thier functions. Library Committees are also formed by executive orders. The role they are expected to play is delineated in the order. In libraries attached to autonomous institutions, the top management, in consultation with the library, draws up the detail about the role and functions of such committees.

While discussing the Library Committees, we must understand the difference between a Library Committee and a Library Authority. The Library Authority is empowered to perform executive functions, whereas in most cases the Library Committee is an advisory or recommendatory body.

### 6.2.1 Need and Purpose of Library Committees

The factors listed below justify the need and explain the purpose of Library Committes:

- \* All Libraries are supported by Public funds either fully or partly. It is, therefore, necessary for Libraries to build a favourable image among the public about their usefulness to public at large. The Library Committees can effectively build such image.
- \* Depending upon the nature of the library, library committees consist of members from wider cross-section of the society or from various departments and sections of the concerned organizations possessing rich experience and expertise. This helps in the effecient mangement and rational decision-making.
- \* The association of such members with the committee is helpful in obtaining support and cooperation from various agencies particularly in getting adequate financial support.
- \* The collective decisions of the committte provide the necessary strength and moral authority to librarians to implement plans and programmes of the library with confidence and commitment.
- \* Delegation and decentralization are the hallmarks of effective management. Libraries can achieve this through different types of committees.
- \* The Committees can play useful role in evaluating the library service and provide aproprate advice and direction for the future development.

#### Self-Check Exercise-1

List out the factors that justify the need of Library Committees.

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

ii) Check your answer with the model answer provided at the end of this unit.

### 6.2.2. Types of Library Committees

A brief reference to different types of Library Committees has been made in section 6.1 & 6.2 above. In this section a detailed account of different types of committees with examples will be given.

a) **Statutory Committees:** These types of committees are constituted in accordance with the provision of the acts or statutes of the concerned organizations. The Acts or Statutes clearly mention the details about the composition of the Committees, method of constituting them - whether through elections or nominations -, the tenure of members, their powers and duties, the functions of the committee, the nature of committees - whether advisory or executive.

The provisions made in the existing Public Library Acts in eight states are examples of Statutory Committees at State-Levels

State Public Libraries Acts	Library Committees (Nomenclature)
Tamil Nadu (Originally Madras) 1948	State Library Committee (Advisory)
Andhra Pradesh 1960	AP Granthalaya Parishad (Advisory and with Authority)
Karnataka 1965	State Library Authority (Advisory and with Authority)
Maharashtra 1967	State Library Council (Advisory)
West Bengal 1979	State Library Council (Advisory)
Manipur 1988	State Library Committee (Advisory)
Kerala 1989	State Library Council (Advisory and with Authority)
Haryana 1989	State Library Authority (Advisory)

Similar provisions also exist for committees at city and district levels.

The statutes of different Universities in India have also provision for Library Committees. For example, the Statute No.VIII of Osmania University Act, 1959, provides details about the constitution, duties and powers of the Library Committee. (See Appendix).

b) **Standing Committees:** These committees are created by executive orders of Universities or Library Authorities in public libraries to carry out specific tasks, e.g. Book Selection Commit-

tees, Grievances Committees, Welfare and Games Committees, etc. Faculty-wise committees constituted in University Libraries for book selection are examples of this type.

c) **Sub-Committees:** The Statutory Committees being quite large, sub-committees (often Executive Committees) are formed to look after and provide guidance in day-to-day management. Also reporting committees constituted to investigate and get to the real situation of certain aspects of library fall under this category.

d) **Task Forces:** They are created by the head of the library to deal with specific problem or task. Task forces are usually formed to deal with complex problems or tasks that involve a number of organizational sub-units. For example Budget Committee, Disciplinary Committee, Purchase Committee, etc.

e) **Ad hoc Committees:** Such Committees are not related to a particular library but are set up by the government either at State-level or all-India level to advise them on the development of library systems and services. Such committees cease to function once the reports are submitted. The following two are good examples of Ad hoc Committees:

- i) The Committee to review the working of Andhra Pradesh Public Library Act, 1960 constituted under the Chairmanship of Justice Gopal Rao Ekbote in 1978.
- ii) The Committee on private libraries constituted by the Government of A.P. under the Chairmanship of Sri Vavilala Gopalakrishnayya in 1978.
- iii) Staff Selection Committees, Assessment & Promotion Committees.

It should be noted that a library need not necessarily have all types of committees. The constitution of committees depend upon the size and the types of activities of the concerned library. Apart from the statutory committees, standing committees for selection of books are constituted.

#### Self-Check Exercise-2

a) What are the different types of Committees? Provide examples.

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

ii) Check your answer with the model answers at the end of the unit.

b) State the nomenclatures of state-level committees as per the existing Public Libraries Act.

The functions of statutory committees, as listed in acts and statutes may be summarised as under:

- \* Approve plans and policy guidelines
- \* Allocate budgetted grants to different departments/subjects.
- \* Scrutinise and sanction proposals for major purchases involving capital expenditure.
- \* Approve guidelines for staff recruitment, assessment, promotions, staff development, etc.
- \* Approve annual reports
- \* Frame Library rules and regulations
- \* Constitute committees for selection of staff and appoint task forces and sub-committees for specific purposes providing terms and conditions.
- \* Advise and suggest new programmes and activities
- \* Look after all matters of importance that concern growth and development of the library.

In the appendix is reproduced the text of the Statute of a University regarding the Constitution, Duties and Powers of the Library Committee as an example. It can be inferred from the nature of functions of Library Committees that they provide guidance and advice to the library and are not concerned with its day-to-day administration.

### Self-Check Exercise-3

Describe briefly the functions of the Statutory Committee in a University Library.

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

ii) Check your answer with model answers at the end of this unit.

### 6.2.4. Advantages of Library Committees

#### a) Better Quality of Decisions:

A Committee brings together experts from a variety of fields who provide a wide range of knowledge and insights that are beyond the ability and scope of any individual decision-maker.

#### b) Improved Coordination:

In the course of committee discussion, members become increasingly aware of the activities of different units and their impact on the other units. This results in willing coordination and cooperation among all units and help to achieve overall goals of the organization.

c) **Enhanced Acceptance of Decisions:**

Dispassionate views and advice of committee members on crucial and critical issues result in enhanced acceptance of decisions by the library staff, administration and the user community.

d) **Training Librarians:**

Committee deliberations always serve as a training ground for young library executives. They learn how to free themselves from parochial concerns of their individual units and think of wider issues that confront the library as a whole.

e) **Dispersion of Power:**

Too much concentration of power in one person is likely to lead to abuse of power, favouritism and erroneous and arbitrary decisions. Committees working at different levels help in decentralization and dispersion of powers.

Thus it will be seen that Library Committees are necessary for overall growth and development of libraries and their wider acceptance by the Society.

**Self-Check Exercise-4**

Describe in five lines, the advantages of a Library Committee.

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

ii) Check your answer with the model answers at the end of the unit.

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**6.2.5. Disadvantages of Library Committees**

a) **Waste of Time and Money:**

The Committee meetings may often cost the library a great deal in terms of time and money. Poorly managed committee meetings, in particular, become unproductive.

b) **Individual Domination:**

Some individual members tend to dominate the proceedings of Committee Meetings which may result in conflicts and create difficulties in arriving at objective decisions.

c) **Delay in Action:**

Many important activities of the library get delayed, as they have to be formally approved by the Committees.

**d) Lack of Responsibility:**

Since many committee members may not feel responsible for the implications of the decisions, they may be less careful in arriving at decisions. Librarians may find difficulty in implementing such decisions.

Despite such shortcomings, Committees are essential adjuncts to any democratic institutional set-up. The librarian at the helm of affairs must learn how to make use of Committees effectively and profitably to achieve the objectives of libraries.

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### **6.3 ROLE OF LIBRARIAN IN LIBRARY COMMITTEES**

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The librarian has to play a significant role in the affairs of the library committee to ensure that it contributes to the growth, development and smooth functioning of the library. His involvement with the committee work at all stages is essential, the composition of committees, convening of meetings, active participation in the deliberations and taking effective follow-up action of the decisions.

**a) Composition of Committees:**

The librarian should be familiar with provision of the acts and statutes that govern the functions of different Committees. Accordingly, he should suggest a panel of members to the appropriate authority for constituting the Committee. It is a convention in university and autonomous institutions that such panel is always suggested by the librarian. While suggesting the names, the librarian should see that proper talent is available to the library.

**b) Convening of Meetings:**

The librarian is generally the convener or secretary of library committees. It is his duty to convene meetings in accordance with the relevant statutes. He should consult and find out the convenient date from the Chairman for the meeting. It is also his responsibility to decide in consultations with his colleagues the agenda items and prepare background notes on each item supported by facts and figures. He should ensure that agenda papers reach the members well in advance.

**c) Deliberations of the Meetings:**

Having a thorough knowledge of the working of the library, it becomes necessary for the librarian to actively participate in the deliberations and assist the Committee in arriving at proper decisions. He should also assist the Chairman and see that all members participate in the discussion. He should record the proceedings and prepare the draft minutes of the meeting. The draft should then be circulated to members for their comments and finally approved by the Chairman. The minutes as approved are generally ratified in the next meeting of the committee.

**d) Implementation of Decisions:**

After the minutes are approved, the librarian should initiate follow-up action. The extracts from the minutes relevant to concerned divisions or sections should be forwarded to them for taking appropriate action. Actions taken on various decisions of the Committee are generally reported in subsequent meetings.

Librarian, thus has to play an active and key role at every state of the meeting of Library Committees.

### Self-Check Exercise-5

Explain briefly the role of the Librarian in Committee Work.

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

ii) Check your answer with the model answers at the end of the unit.

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## 6.4 COMMITTEES IN DIFFERENT TYPES OF LIBRARIES

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The Committees have come to stay in all types of libraries. They help libraries in proper functioning. The composition of committees vary because they would be constituted in accordance with provisions of the relevant acts or statutes. Some committees are created through executive orders. It is seen that committees do exist in almost all Public Libraries, University and College Libraries and in Special Libraries.

### 6.4.1. University and College Libraries

In all universities there is a provision in the statutes for forming Library Committee (See Appendix for statutory Library Committee of a University Library). These statutory committees consist of dean of faculties, senior university teachers, principals of campus colleges etc. The Vice-Chancellor would be the Chairman and University Librarian member-secretary. These committees are responsible for framing policies and programmes, rules and regulations, approving budget and evaluating services. Besides the statutory committee, sub-committees or standing committees are constituted by the Library Committee. Book selection committees, assessment committees, special project committees are good examples of these categories.

In college libraries, the Pricipal will be the Chairman of the Committee. Some teaching staff members from various disciplines and college librarian will be members. The College Librarian acts as a member-secretary or convener. These committees will be having more or less the same powers and duties as University Library Committee, but jurisdiction is confined to the working of that particular College Library.

### 6.4.2. Special Libraries

The Libraries of industrial concerns, research institutions and laboratories, business organizations and various government departments invariably consitute library committees. Usually the Director of respective organization will be the Chairman and Librarian/Documentation Officer act as the Member-Secretary. These Committees are advisory in nature and are responsible to provide guidelines for the smooth and efficient running of the Library.

Thus Library Committee do exist in all types of libraries and contribute to their growth and development.

### 6.4.3 Public Libraries

In section 6.2.2. above, it has been clearly indicated as to how the existing Public Library Laws contain provision for Committees at State, City, District and other levels. These acts clearly provide number of each committee, whether they would be nominated or elected, what would be their powers and duties, how are the chair persons and secretaries nominated/elected or occupy the position in their ex-officio capacity, etc.

Usually in Public Libraries, members of the Committee are drawn from public life; who have contributed to the field of education or librarianship, some library experts, representatives of Library Association and ex-officio members. Librarian at State, City, District and branch/block level serve as member secretaries of respective committees. Depending on their levels these committees enjoy powers to plan and make policies, evaluate and oversee the services offered by the library system in the state.

#### Self-Check Exercise-6

Briefly explain the composition of Library Committees, in a public, university and special library.

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

ii) Check your answer with your model answers at the end of the unit.

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### 6.5 SUMMING UP

It has been universally accepted that the role of Library Committee is very important for growth and development of all types of libraries, whether it is a special library, university or college library or a public library.

These committees are of different types- statutory, standing or ad hoc. They meet periodically and take decisions that are useful for libraries to serve their respective communities meaningfully. They may be advisory or executive in nature.

By and large, the head of institution will be the chairman and librarian as a member-secretary of the committee. Expert members from user communities will also be there on Library Committees. Their unbiased and balanced views are of immense value for libraries to serve as socially accepted useful institutions.

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### 6.6 MODEL ANSWERS TO SELF-CHECK EXERCISES

1) Factors that justify library committees are:

i) To build an image among public about libraries being useful service agencies.

- ii) The rich experience and expertise and unbiased views of committee members help in efficient management of libraries.
- iii) The decisions arrived at provide confidence and strength to library staff in implementing plans and policies.
- iv) Operating through committees results in democratization, decentralization and coordination of library activities.
- v) The deliberations of Library Committees provide right direction for future growth and development.

#### 2.(a) Different types of Library Committees.

Types	Examples
Statutory Committees	Library Committee of a University, Andhra Pradesh Granthalaya Parishad
Standing Committee	Book Selection Committees; Grievances Committees
Ad hoc Committee	Ekbote Committee for the Review of Andhra Pradesh Public Library Act (1960); Vavilala Committee on Private Libraries in A.P.
Sub-Committees	Executive Committee to Manage City Granthalaya Samstha; Reporting Committees.
Task Forces	Committee Constituted for Computerization of Library Operations; Disciplinary Committee.

#### 2.(b) Nomenclatures of Public Library Committees at State Level according to provisions in the existing acts.

Andhra Pradesh Act 1960	Granthalaya Parishad (Executive Powers)
Haryana Act 1989	State Library Authority (Advisory)
Karnataka Act 1965	State Library Authority (Advisory with Executive Powers)
Kerala Act 1989	State Library Council (Advisory with Executive Powers)
Maharashtra Act 1967	State Library Council (Advisory)
Manipur Act 1988	State Library Committee (Advisory)
Tamil Nadu Act 1988	State Library Committee (Advisory)
West Bengal Act 1979	State Library Council (Advisory)

#### 3) Functions of Statutory Committee of a University Library:

- Approve policies, plans, budget, annual reports etc;
- Allocate budgeted grants to different Departments/College Libraries;
- Sanction capital expenditure for major items;
- Frame library rules and regulations;
- Constitute selection committees, task forces, etc;

#### 4) Advantages of having Library Committees.

- i) Better quality decision owing to participation of outside experts, public men who are interested in libraries;
- ii) Improved coordination among different sections of the library resulting in achieving objectives;
- iii) Acceptance of decisions by library staff, users, public at large and administration;
- iv) Dispersion of power and making libraries a meaningful democratic service agencies;
- v) Training for library staff - the unbiased, dispassionate, expert views of members expressed during deliberations of the meeting provide such training.

#### 5) Role of Librarians in Committee work.

- i) Suggests panel for composition of the Committee;
- ii) Prepare agenda and relevant background notes to enable members to participate meaningfully in the deliberations and communicate them well in advance;
- iii) Actively participate and lead the discussion during deliberations of the meeting;
- iv) Prepare minutes, get them approved, and take follow-up action.

#### 6) Composition of Library Committees in Public, University and Special Libraries.

In Public Libraries, the members of the committee would be public men of standing, officials, educationists and representatives of professional associations. The State Librarian would be the Member-Secretary and the Chairman would be either nominated by the Government or elected by Committee members.

In University, the Vice-Chancellor would be the Chairman and University Librarian as the member-secretary. Other members of the Committee would include Deans of Faculties, principals of campus colleges and professors.

In Special Libraries, the head of the Institution would be the Chairman of the Library Committee. The Committee also includes senior professionals and officials and might also include a few outside experts. The Librarian/Documentation Officer would act as a Convenor/Member-Secretary.

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### 6.7 ASSIGNMENTS

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1. Briefly describe the functions of AP Granthalaya Parishad.
2. List out the statutory provisions for Library Committee or any University Library in A.P.
3. Explain the Constitution and working of Book Selection Committees in the state central library, Hyderabad or any University Library.

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### 6.8 RECOMMENDED BOOKS

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1. Evans, G. Edward. *Management Techniques for Librarians*. 2nd ed. New York: Academic Press, 1983.
2. Mittal, R.L. *Library Administration: Theory and Practice*. 5th ed. New Delhi: Metropolitan Book Company, 1987.

## 6.9 APPENDIX

### STATUTE NO. VIII

#### **Constitution, Duties & Powers of the Library Committee** (Effective from January 1, 1960)

In exercise of the powers conferred by Clause (1) of Section 44 of the Osmania University Act, 1959 (Andhra Pradesh Act IX of 1959), the Senate hereby makes the following Statute in respect of the Constitution, duties and powers of the Library Committee, namely,

1. The Syndicate shall nominate a University Library Committee, consisting of the following: -
  - i) The Vice-Chancellor, who shall be the Chairman of the Committee;
  - ii) Three Principals of the Campus Colleges;
  - iii) Three Heads of Departments of the University; and
  - iv) The University Librarian who shall be the Convener of the Committee.

Members, other than the Vice-Chancellor and the University Librarian, shall hold office for a period of three years.

2. In the absence of the Vice-Chancellor, a member nominated by the Vice-Chancellor, shall preside.
3. Subject to the control and supervision of the Vice-Chancellor, the Library Committee shall have the power to:
  - i) frame rules for the use of the University Library;
  - ii) consider and approve the Annual Budget for the University Library;
  - iii) consider and recommend to the Vice-Chancellor, the acquisition of special collections of books or manuscripts offered to the University Library for purchase;
  - iv) determine the proportion of grants to be made to Department of the University;
  - v) consider and sanction the purchase of books suggested by the Heads of Departments;
  - vi) decide the number and nature of the periodicals to be ordered for the University Library and the Departments;
  - vii) consider the Annual stock-taking Report submitted by the University Librarian and decide the action to be taken with regard to missing or damaged books;
  - viii) consider and adopt the Annual Report and Statistics on the work and progress of the University Library; and
  - ix) consider any other question relating to the University Library which may be referred to it from time to time by the Vice-Chancellor or the Syndicate or the Academic Council.

# **UNIT-7 : LIBRARY RULES AND REGULATIONS**

## **Contents**

- 7.0 Aims and Objectives
- 7.1 Introduction
- 7.2 Library rules and regulations
  - 7.2.1 Need and purpose of Library rules
  - 7.2.2 Enforcement of rules
- 7.3 Factors that govern Library rules and regulations
- 7.4 Library rules in different type of libraries
- 7.5 Library handbooks/brochures
- 7.6 Model library rules
- 7.7 Summing up
- 7.8 Answer to self check exercises
- 7.9 Assignments
- 7.10 Recommended Books
- 7.11 Glossary
- 7.12 Appendix

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## **7.0 AIMS AND OBJECTIVES**

The successful functioning of any service organisation depends on a set of unambiguous rules and regulations. The staff and users of the library should have full knowledge of them and should adhere to them. This unit discusses the rules and regulations required for day-to-day operations of a library.

After studying this unit you should be able to:

- Explain the need and purpose of library rules and regulations
- Describe the factors that underlie the rules and regulations
- Frame rules and regulations for a library
- Interpret them for the benefit of users.

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## **7.1 INTRODUCTION**

The library is social organisation which is created for the benefit of the society. Society needs libraries in order to make the records of civilization available to those who need them. The libraries, thus function for the benefit of individuals with the ultimate aim of creating a cultured society of which an individual is member.

A library acquires varieties of graphic records and is responsible for their organization and maximising their use and their maintenance and preservation for the use of the posterity. It has to serve the clientele without any discrimination. The management of libraries to achieve such objectives has become a complex affair.

Rules may be defined as laws or regulations that is aimed at guiding the conduct of a group of people and is uniformly applicable to all. In the library context, they cover both the user community as well as the library staff to ensure the smooth functioning of a library for achieving its objectives. Library rules are essential for the proper upkeep of reading materials and to ensure their uses. Rules ensure maintenance of order and decorum. They enumerate duties and user community. The rules and regulations should facilitate use and not restrict it. Even whatever restrictions are imposed, they should, in the ultimate analysis, benefit the users. The rules should be written in simple and precise language leaving no room for ambiguity. There should be no confusion in the minds of users about the proper use of library materials and services offered by the library staff.

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## 7.2 LIBRARY RULES AND REGULATIONS

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### 7.2.1 Need and Purpose

The library rules provide guidance to the library staff in respect of their day-to-day work as far as the users are concerned and such the rules are useful in developing cordial staff-user relationships. Specifically properly framed rules serve the following purposes:

- \* Provides guidance and direction in the use of library materials, facilities and services;
- \* Protect library property - documents, furnitures, etc., from damage and misuse;
- \* Prevent loss of library documents;
- \* Inform members of their privileges and responsibilities;
- \* Maintain calm and congenial atmosphere in the library; and
- \* Empower library staf with authority to enforce the rules and regulations and often using their discretion whenever necessary.

#### Self-Check Exercise-1

Explain the factors that justify the need of library rules and regulations.

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

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

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### 7.2.2. Enforcement of Rules and Regulations

It is evident from the discussions that the rules and regulations are necessary for avoiding confusion in the management of library resources. It is, there fore, necessary that proper care is taken while drafting the rules and subsequently enforce them appropriately. There is a tendency among certain sections of the society to feel that it is for others to observe the rules. They are above the rules. It is, therefore, essential that rules should be framed in such a way that they are enforceable. The draft rules should be discussed in the library committee and its approval

obtained. But, before adopting them all pros and cons of various provisions that are to be adopted need be carefully considered. The contents should be presented in clear and simple language. It needs to be appreciated that purpose of the rules is to help the readers in proper use of library facilities and services and not to create hindrance.

The librarian has to act as a friend, philosopher and guide of the users and interpret rules and regulations. He has to be firm, but polite. He should patiently explain to readers the need to abide by the rules. The librarian should also take a note of the feedback from the users in order to understand the genuine problems faced by readers so that he can get the relevant rules suitably amended.

#### Self-Check Exercise-2

Describe what attitude need be adopted by the librarian while interpreting the rules.

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

ii) Check your answer with model answers at the end of this unit.

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### 7.3 PARAMETERS OF RULES AND REGULATIONS

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The basic parameters of rules and regulations are common to all types of libraries. However, the provisions in respect of specific issues will differ from library to library depending upon its nature. For example, university library rules will not be the same as those of a special library. Even in some libraries, the same rules may not be applicable to all users. For example, in university libraries rules relating to borrowings would not be uniformly applicable to both faculty members and users.

The basic parameters may be enumerated as under:

**1) Address:**

Name and Postal Address; Telegraphic Address; Telephone/ Telex/Fax Numbers

**2) Working Days and Hours:**

Library Working Hours

Holidays

Working Hours on Holidays

**3) Membership**

Eligibility

Categories

**4) Loan Facilities:**

- Category of Library Documents Issued on Loan
- Number of Documents Issued to Different Category of Members
- Duration of Loan
- Overdue charges for Late Return of Documents
- Penalty for Loss or Damage of Documents

**5) Loan Services:**

- Reference Service
- Information Retrieval and Literature Search Services
- Document Delivery Service (Providing photocopies)
- Inter-Library Loan Facilities
- Charges for various services

**6) General:**

- Admission of Visitors
- Restrictions on Bringing Personal Effects in the Library
- Use of Rare Documents
- Maintenance of Silence in the Library
- Prohibitions on Smoking

**7) General and Discretionary Powers of Librarians:**

The library profession has been introducing various innovations in providing services to users. For example, literature search services, referral service, and document delivery service were not included in library rules before 1940s. But no library to-day can afford to function without offering them. Providing on-line literature services has increasingly becoming a common feature in many special libraries. As a result, library rules and regulations of a university library and those of a library attached to an post-experience management education (a special library). In addition, a set of model rules is provided in Section 7.6. These will enable you to better understand the factors that govern the framing of library rules and regulations.

**Self-Check Exercise-3**

What should be contents of library rules and regulations?

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

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## 7.4 LIBRARY RULES IN DIFFERENT TYPES OF LIBRARIES

As discussed in Section 7.3, although factors that govern the framing of rules are almost the same for all types of libraries there are variations in respect of several issues from library to library. These variations occur because of several factors:

- Types of library - public, academic, research, etc.
- Types of reading materials
- Types of users
- Types of services provided.

The discussion below will provide some idea about university and special libraries in the Indian context.

### (a) Public Libraries:

Public libraries are 'People's universities'. All segments of society, house wives, children, handicapped, professionals, students, etc., are entitled to utilize the services of public libraries. The nature of documents that are acquired to cater to their information needs widely differs from university and special libraries. Extension service in public libraries is an essential element. Even among public libraries at different levels - district, block, mandal, village - there would be variations in respect of working hours, admission to the library, borrowing privileges and types of services.

### (b) University Libraries:

Compared to public libraries the readership form a homogeneous group consisting of students, researchers and teachers in university libraries. Obviously their information needs and documents are different from those of the users of public library services. Textbooks, journals and reference books have a predominant role. As such, borrowing facilities, reference, documentation and bibliographical services, working hours have to be geared to these requirements and need to be taken into consideration while framing rules and regulations in university and college libraries.

### (c) Special Libraries:

These libraries are subject or mission oriented. Small but highly specialised collection and intensive service are peculiar to special libraries. CAS, SDI, Document Delivery Service become essential aspect of the functioning of a special library. All members of special libraries generally enjoy equal privileges. Journal and report literature, patents, and nascent documents get priority over books.

The rules and regulations in special libraries are framed in accordance with the working hours and objectives of the parent organisation, of which the libraries are part.

### Self-Check Exercise-4

Briefly discuss the factors that effect variations in rules and regulations of public, university and special libraries.

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

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



3) **Telephone and Telex number:**

4) **Working hours:**

The library will be kept open for public from 8.00 a.m. to 8.00 p.m. on all working days and 9.00 a.m. to 5.00 p.m. on holidays and sundays.

The issue counter will be kept open daily from 10.00 a.m. to 4.00 p.m.

5) **Membership and Loan Privileges.**

**Membership:**

- i) Any person living within the area of the library and guaranteed by a responsible person in his locality is eligible to enrol himself as a member.
- ii) A person working in an institution within the area of the library shall produce a guarantee from the head of his institution.

**Enrolment:**

- i) To get enrolled as a member, a person shall fill up and sign a registration form, which can be had free of cost at the circulation counter.
- ii) A deposit of rupees fifty has to be paid towards enrolment.

**Membership Card/Ticket:**

- i) Each member will be given two readers tickets which entitle him to borrow two books.
- ii) The membership will be valid for a year and need be renewed.
- iii) In case the member wants to withdraw membership, his deposit amount will be returned, provided he returns all books due from him and pays overdue charges if any.

**Loss of Tickets:**

- i) If a member loses his ticket, he has to immediately report it to the librarian.
- ii) He will be issued duplicate tickets after a lapse of three months against an indemnity bond in the prescribed form and payment of rupees two for each ticket.

6) **Borrowing of Books:**

- i) A member is entitled to borrow one book against one ticket.
- ii) The member shall satisfy himself, as to whether the book issued is in sound physical condition, if not he shall bring the matter to the notice of the circulation incharge, otherwise the member shall be held responsible for any damage discovered while returning the book.
- iii) The books are issued for a fortnight and have to be returned on or before the stipulated date.
- iv) A overdue charge of 10 paise per day per book shall be levied after the expiry of the due date.
- v) Books borrowed could be renewed for another fortnight provided there is no demand from other members.
- vi) The librarian will have power to recall the book borrowed when required urgently.
- vii) Reference books, periodicals and rare books shall not be lent out.

viii) Borrower's tickets are not transferable. Members shall be responsible for all the books issued on their tickets.

#### 7) Loss or Damage of Books:

- i) Members shall be responsible for the safe custody and return of books borrowed.
- ii) Damage or loss of books shall be immediately reported to the librarian.
- iii) Members are liable to replace the damaged or lost books or pay the cost of books as per current market rates.
- iv) If one book of a set is damaged or lost, the member concerned shall be liable to replace or pay the cost of the whole set.

#### 8) Use of the library:

- i) Person desirous of using the library shall enter his name and address legibly in the gate register.
- ii) Person who is not of sound mind shall not be admitted to the library.
- iii) Sticks, umbrellas, bags and other personal articles shall be deposited at the property counter and not to be taken inside the library.
- iv) Dogs and other animals shall not be admitted.
- v) Silence shall be strictly observed.
- vi) Smoking, eating and sleeping is strictly prohibited in the library.
- vii) Members are free to browse and consult the books and other reading materials and leave them on the table after they finish with them.
- viii) No person shall write, damage, make a mark or underline on any book or other materials belonging to library.

#### 9) General:

- i) The librarian may refuse under special circumstances, admission into the library to any person on the use of any book without assigning any reason thereof.
- ii) Any one who violates the rules and regulations of the library would be liable to lose the privilege of membership.

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### 7.7 SUMMING UP

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The rules and regulations are necessary for all libraries for disciplined and systematic operations. They should be drafted using simple and clear language.

The contents should include all factors like working hours, enrollment of members, the proper use of materials, stipulations for loan of documents, provision for providing documentation, referral, inter-library loan and other modern services and facilities.

Information about rules and facilities provided should be disseminated among all users of library through a hand book/brochure so that they could be aware of their rights and responsibilities and allow the library to function smoothly. The basic philosophy behind framing the library rules should be maximizing the use of library resources and services.

## 7.8 ANSWER TO SELF CHECK EXERCISES

- 1) The factors that justify the need of rules and regulations are as under:
  - i) To provide guidance and directions to users in the use of library materials, facilities and services.
  - ii) To protect documents and other properties of the library from damage and misuse.
  - iii) To inform library users of their rights and responsibilities.
  - iv) To help library staff in knowing their authority and proper interpretation of rules.
- 2) The attitude of the Librarian while interpreting the rules:
  - i) The librarian should bear in mind that basic philosophy behind framing the rules is the optimal use of library materials and services.
  - ii) He should therefore act as a friend philosopher and guide users while interpreting the rules.
  - iii) The faculties of humour, patience, resourcefulness, sympathy and empathy should convince the users with his point of view and acceptance of the wrong done without bitterness.
  - iv) He should be firm and polite.
  - v) The librarian should use the feedback received from clientele for improving the services and facilities.
- 3) The important contents of library rules and regulations are provided below:
  - i) Name, address and telephone number.
  - ii) Working hours
  - iii) Eligibility for membership
  - iv) Borrowing privileges.
  - v) Proper use of library properties.
  - vi) Compensation for misuse or damage done to the library property.
  - vii) Services offered -- interlibrary loan, documentation, referral and supply of copies of documents, etc.
  - viii) Discretionary powers of librarian.
- 4) Factors that effect variations in library rules and regulations of Public, University and Special libraries are as follows:
  - i) The working hours differ in these three types of libraries.
  - ii) The clientele in university and special libraries are homogeneous, but in public libraries all members of the community without any discrimination are entitled to use the services.
  - iii) The quality and forms of documents acquired vary in these libraries owing to variations of clientele and their information needs.
- 5) The items that included in library handbooks/brochures.

- i) A floor plan indicating different units of the library.
- ii) The different types of documents their arrangements of racks in helpful sequence.
- iii) Brief explanation of classification scheme used and cataloguing entries prepared.
- iv) Bibliographical and documentation services offered.
- v) Photocopying facilities
- vi) Library rules and regulations.
- vii) Names of senior officers.
- viii) Special features if any.

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## 7.9 ASSIGNMENTS

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- 1) Visit the City or District Central Library and note down important provisions from its rules & regulations.
- 2) Get hold of any handbook/brochure from a special library and note down its contents.

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## 7.10 RECOMMENDED BOOKS

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Mittal, R.L. **Library Administration: Theory and Practice**, 5th ed. New Delhi: Metropolitan Book Co., 1987.

Rangnathan, S.R. **Library Administration**, 2nd. ed. Bombay: Asia Publishing House, 1959.

Rangnathan, S.R. **Library Manual for Library Authorities, Librarians and Library Workers**. 2nd ed. Bangalore: Sarada Rangnathan Endowment for Library Science, 1988.

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## 7.11 GLOSSARY

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**Document Delivery:** Supplying photocopies and documents.

**Referral Service:** Directing user to appropriate organizations/source where information required will be available.

**Regulations:** Guidelines that govern the conduct, procedures etc.

**Floor Chart:** Mapping of the floor indicating the location of different units.

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## 7.12 APPENDIX: RULES AND REGULATIONS OF A UNIVERSITY LIBRARY

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Appendix-A

### **RULES OF A UNIVERSITY LIBRARY**

(Source: OSMANIA UNIVERSITY LIBRARY)

#### **1. WORKING DAYS AND HOURS OF THE LIBRARY:**

The Library will remain open on all days including holidays and Sundays except six days in a year which will be notified on the notice board of the Library.

The timings of the Library will be from 9.00 a.m. to 9.00 p.m. During Sundays and holidays the library will be kept open from 10.00 a.m. to 4.30 p.m.

The working hours of the Lending Section will be from 9.00 a.m. to 4.30 p.m. on all working days and 10.00 a.m. to 4.30 p.m. on holidays and Sundays.

## 2. LIBRARY MEMBERSHIP:

The following categories of persons are eligible to enrol themselves as members of the Library : -

- A. Members of the University Syndicate, the Academic Council and the Senate. i) shall borrow two volumes at a time without making any deposit.
- B. Teachers of the
- i) University i) shall borrow six volumes at a time.
- ii) Constituent Colleges and i) Three volumes at a time.
- iii) Gazetted Officers working in the Campus iii) Three Volumes at a time.
- (No deposit will be collected from i, ii, and iii.)
- iv. Research/Technical Assistants and Temporary employees of the Campus Colleges not below the rank of LDC iv) shall borrow two volumes at a time. Permanent employees working in the Campus not below the rank of L.D.C.'s shall borrow two volumes at a time without making any deposit.
- C. i) Registered Graduates of the University shall make a deposit of Rs.100/- and pay an annual fees of Rs.50/-. They can borrow two volumes at a time.
- ii) Serious minded readers who can become members with the special permission of the Librarian. shall make a deposit of Rs. 100/- and pay an annual fee of Rs. 50/-. They can borrow two volumes at a time.
- D. a) Teachers of the Affiliated Colleges shall make a deposit of Rs.100/- and pay an annual fee of Rs. 50/-. They can borrow two volumes at a time.
- b) Retired Teachers of Campus and Constituent Colleges of Osmania University. shall pay a deposit of Rs.100/- and annual fee of Rs.25/-. They can borrow 4 volumes at a time.
- E. a) Research Scholars (Ph.D. Students) a) shall make a deposit of Rs.50/- and can borrow 5 volumes at a time.
- b) M.A., M.Sc., M.Com, M.Tech., M.C.J., M.L.I.Sc. & M.Ed., b) shall borrow 4 vols. at a time.
- c) B.E., B.Tech, L.L.B., B.C.J. and B.Lib. Sci., c) shall borrow 2 vols. at a time.
- Post-Graduate students of constituent colleges d) shall make a deposit of Rs.50/- and borrow 3 vols. at a time.
- F. i) Membership in more than one category or class is not permissible.
- ii) Casual students be treated as any other students of the Campus Colleges.

- G. i) Members of category 'B' may retain books for a period not exceeding one month and others for a fortnight, provided that the Librarian may at any time recall a volume for special reasons.
- ii) Books shall be issued to the members of the teaching staff of the constituent and Affiliated Colleges on the responsibility of the Principals of the Colleges concerned.
- iii) For the purpose of these rules any work which is separately bound shall mean a "Volume".

### 3. DEPOSIT:

The deposit will be refunded to the Depositor when he ceases to be a member. A week's notice must be given by members of categories 'C' and 'D' before a deposit is withdrawn.

No deposit will be repaid until all the books outstanding against a member's name and the borrowers tickets issued to him are returned to the Library and all fines and other dues are paid.

### 4. MODE OF ISSUE:

- i) Every member, including the members of the teaching staff shall be provided with borrowers' tickets which must be produced every time books are borrowed. If the ticket is lost, a new one will be issued only on payment of Re.1/-. In case of student members no fresh cards will be issued if they lose any of the cards during the academic year.
- ii) The borrowers will be responsible for all the books borrowed on their tickets and for all fines payable against them. Members are not allowed to sub-lend the books to the others.
- iii) Members shall see that books have been properly issued and return on their cards. It is difficult to rectify mistakes later on.
- iv) Tickets are not transferable
- v) Books will not be sent by post.
- vi) Any book which is temporarily in great demand shall be issued for such shorter period, as be necessary, or temporarily declared as a reference book under Rule 7. Loans may at any time be terminated by the order of the Librarian.
- vii) Before leaving the counter the borrower shall satisfy himself that the book lent to him is in good condition, and if it is not, he/she shall immediately bring the matter to the notice of the Issue Clerk and get it stamped. Otherwise the borrower is liable for replacement of the book by a sound copy or pay the cost of the book (See 6 iv).
- viii) Books will be issued to students only on production of their own Identity Card.

### 5. BOOKS OVERDUE:

- i) If a book is not returned by the members of category 'E' when due, charge of Ten paise per volume per day shall be levied. In case of all other members the fine shall be 25 paise per volume per day.
- ii) The maximum amount of fine to be collected shall be Rs.10/- or 50% of the cost of the books whichever is highest.
- iii) No intimation will be given to members of Class 'E' of the dates when the books fall

due. For members of other classes a reminder will be served informing them that the books are due and asking them to return the books as fine on those books is being levied.

- iv) A member against whom any amount is overdue or other charges are outstanding for a fortnight will not be allowed to borrow books until he has paid the amount due.
- v) Books may be re-issued for a future period of a month or a fortnight, as the case may be, provided:
  - a) the book is actually brought to the Library.
  - b) no other reader has applied for the book in the meantime.

#### 6. USE OF BOOKS:

- i) All markings, underlining etc. on books shall be absolutely forbidden.
- ii) No tracing or mechanical reproduction shall be made without express permission from the Librarian.
- iii) Before leaving the Library, readers shall return to the assistant at the Counter any books or maps which they have taken for consultations.
- iv) Readers shall be responsible to any damage or injury done to the books or other property belonging to the Library shall be required to replace such books or other property damaged or injured, or pay the replaceable value thereof. Those found guilty of damaging the books shall be debarred from the Library in consultation with the concerned Deans. If any one book of a set is lost or damaged the whole set will have to be replaced. In case of ordinary book one has to pay the (current) cost if the title is in print. For out of print titles 4 times of the cost of book shall be collected.
- v) Books can be borrowed after production of identity cards by the students.

#### 7. REFERENCE BOOKS

Books of the following description shall not be lent out:-

- a) Current periodicals. (In special circumstances bound volumes of periodicals not exceeding two in number shall be lent for a period not exceeding one week to the members of the University Staff and Research Students at the discretion of the Librarian).
- b) Dictionaries and other works of reference.
- c) Maps
- d) Rare and Valuable books
- e) Manuscripts
- f) Books specially reserved under the instruction of the Heads of the Departments.
- g) A new book shall not be taken out of the Library during the first fortnight after it has been classified and catalogued.

Note: Members of the categories 'A' and 'B' may be permitted in special cases to borrow any of these books for such specified period as the Vice-Chancellor may determine.

## 8. TEXT BOOKS:

The Text-book collection is intended only for Post-Graduate students. Two copies of each text-book will be kept in Text-Book section for consultation in the Library premises only against identity cards. They will not be lent out. They have to return these text books while leaving the library and take back their identity card.

## 9. RESEARCH CARRELS:

There are at present only 80 carrels and as such admission to these carrels shall be restricted.

- i) The carrels shall be allotted to the following:-
  - (1) For full-time M.Phil and Ph.D. research work.
  - (2) Teacher candidates who are doing Ph.D. research work.
  - (3) UGC research scholars, professors
  - (4) Temporary assignments.
- ii) Allotment shall be made by the University Librarian on the recommendations of the Deans concerned, but to be eligible a research student would be required to have atleast one year's standing after registration. Seniority shall be taken into consideration as far as possible.
- iii) Research scholars, if they do not use the Research carrel for a week continuously shall forfeit the carrel and will have to get it reallocated.
- iv) The carrel shall not be used for taking tea or lunches. The research scholar shall be solely responsible for the furniture and other fixtures in the hall and also for the key handed over to him. If the key of the carrel is lost by him/her, he/she shall have to replace the key.
- v) Misuse of the carrels shall result in forfeiting the right of the carrel. In addition the University Librarian in consultation with the Dean, shall take any other action he deems necessary.
- vi) Research carrel will be allotted to only such Research scholars who have passed their Pre-Ph.D. / M.Phil Entrance Test and enrolled themselves as a member of the Library.
- vii) A Research Scholar may retain a carrel for a period not exceeding 2 years. The time limit may be extended by another 6 months if the concerned Dean approves of it.
- viii) A register shall be maintained to observe the attendance of the research scholars who are allotted the carrels.
- ix) Library books should not be taken inside the carrels.
- x) The Research carrel hall could be used only from 10.00 a.m. to 9.00 p.m. on working days and 10.00 a.m. to 4.30 p.m. on holidays.

## 10. THESES:

- i) All theses and M.Phil Dissertations in all subjects, forwarded by the Registrar to the Library, shall be placed in the University Library.
- ii) All theses shall be kept in book cases and shall be grouped according to subjects. Each thesis shall be duly entered in the special theses index.

- iii) All these shall be available for persual on demand to readers in the University Library. The readers shall be also give an undertaking to the University Librarian, on a prescribed form, regarding the use made of the manuscripts.

## GENERAL RULES

1. Books may be consulted in the Library by the members of the University, students of the university and of the affiliated colleges and others who have obtained the special permission of the Librarian.

2. Members desirous of using the Library shall enter their names legibly in a register at the entrance and will be allowed to carry only a notebook with them. All other articles shall be deposited at the counter.

3. Strict silence should be maintained in the Library.

4. Spitting, smoking and other offensive or objectionable practicies are strictly prohibited.

5. Anyone who violates the rules and regulations of the Library would be liable to lose the privilege of Membership.

Appendix-B.

## A NATIONAL LEVEL POST-EXPERIENCE MANAGEMENT DEVELOPMENT INSTITUTE

### Guidelines for Library Users

#### A. Library Timings

A.1 The Library is kept open throughtout the year except on 26 January, 15th August and 2nd October.

A.2 The Library observes the following working hours:

8.00 Hrs. - 20.00 Hrs.

8.00 Hrs. - 17.00 Hrs. on Sundays and Holidayas and during Summer Vacation (15th April to 29th May) if there are no courses.

The Library may be kept open till 22.00 Hrs. during the two sessions of the Course in General Management for Senior Executives at the request of the participants.

#### B. General

B.1 To ensure safety of the library collection, please refrain from smoking in the Library premises.

B.2 Observance of silence is in the interest of all users.

B.3 If you have personal books and bags with you when you visit the Library, please deposit them at the Checking Counter. Before that, make sure that no money or valuables are left in your bag.

B.4 After use, please leave the documents on the table. We shall replace them.

#### C. Borrowing Facilities

##### C.1 Who is a Borrower?

C.1.1 If you are a member of the professional staff (i.e., a member of Faculty, a Consultant, a Research Associate/Assistant) you are entitled to borrow library materials other than those specified in Section D.

- C.1.2. If, however, you are a project-tied or temporary staff, please use the reading room facilities only
- C.1.3. If you are a supporting staff, there is a collection of textbooks. You may borrow these books, if you are appearing in any examinations.
- C.1.4. If you are a participant to a Course, you are most welcome to borrow library material.
- C.1.5. Please do not borrow any library documents for the use of others. However, if you wish any of your acquaintances to use the Library, please introduce him to us. We shall provide him a temporary card for using the reading room facilities only.

## C.2 How to Borrow?

- C.2.1. There are two cards in each book. Please sign both, record your membership number and date and return both to the staff at the Checking Counter.
- C.2.2. If you are a Course Participant, please record your room number in place of membership number.
- C.2.3. In case of serials, please fill up the specified form available at the Checking Counter. Please use a separate form for each document.
- C.2.4. Please visit the Library and sign the loan records yourselves. This will help in avoiding any future complications.

## C.3 How to Return?

Please return all borrowed documents at the Checking Counter. We take all possible care to discharge the loans. If, however, you wish us to discharge the loans in your presence, please return the documents between 8.00 Hrs. and 12.30 Hrs. on working days. If you return the material through messengers, you may send a list in duplicate. We shall sign and return the duplicate copy in token of acknowledgement.

## C.4 How Many?

Please limit your borrowings to 15 books, five loose issues of serials and two bound volumes of serials. This will help you in keeping track of the borrowed material.

## C.5 For How Long?

- C.5.1 Thirty (30) days for books and 15 days for serials are reasonable periods of loan. Please return the borrowed documents before this period. You will save our time for sending reminders to about 200 active borrowers.
- C.5.2 If you are a participant to a Course, please return the borrowed documents at least one day before the Course is over.

## D. Documents for use in Library

The following types of documents are for use in the Library premises only:

- Reference books
- Bound Volumes of Newspapers
- Out of Print and Irreplaceable Documents
- Newspapers/Magazines Displayed at the Browing Lounge
- Calendars/Brochures of Educational/Research Institutions
- Consultation/Assignment Reports
- Reading Material for Courses

The last two items are for exclusive use of the professional staff mentioned in Section C.1.1. above.

#### **E. Reservation**

You may reserve library documents which you are using. Please collect a Reservation form from the Checking Counter and keep it along with the documents on the table. If, however, you do not use the material consecutively for three days, we shall replace the material on shelves.

#### **F. The Browsing Lounge**

The Lounge is primarily for the use of the Course Participants for browsing through newspapers/magazines. Please ensure that they get preference in using this facility.

#### **G. Inter-Library Loan**

We have inter-library loan arrangement with selected libraries within and outside Hyderabad. If you need any material to be borrowed, please advise us.

#### **H. Visitor**

If you are not a member of the College staff, we need an appropriate introduction on the basis of which we shall issue a temporary pass for using the reading room facilities only. Please sign the visitors Register every time you visit.

#### **I. Loss of Library Documents**

In case of loss of a library document we insist on a replacement copy. In case you are unable to acquire a replacement copy, you will be required to pay the publisher's catalogue price (convertible at the current exchange rate, in case of foreign publications) of the document.

(Source: Library and Information Services at ASCI (1978) Administrative Staff College of India, Hyderabad. )

# **UNIT-8: PERSONNEL MANAGEMENT IN LIBRARIES**

## **Contents**

- 8.0 Aims and Objectives
- 8.1 Introduction
- 8.2 Library Personnel
  - 8.2.1 Professionals
  - 8.2.2 Semi-professionals
  - 8.2.3 Supporting staff with specialized skills
  - 8.2.4 Administrative and Finance Personnel
  - 8.2.5 Unskilled workers
- 8.3 Staff requirements
  - 8.3.1 Job analysis
  - 8.3.2 Job description
  - 8.3.3 Job Evaluation
  - 8.3.4 Staff size
- 8.4 Staff recruitment and orientation
  - 8.4.1 Planning
  - 8.4.2 Selection procedure
  - 8.4.3 Orientation
- 8.5 Staff development
- 8.6 Performance appraisals
- 8.7 Summing up
- 8.8 Model answers to self-check exercises
- 8.9 Assignments
- 8.10 Recommended Works
- 8.11 Glossary

## **8.0 AIMS AND OBJECTIVES**

In a service oriented organisation like Library, manpower resource becomes of utmost importance. The effective use of other resources, books, buildings, funds etc. depends on human resources. The purpose of this unit is to introduce you to all aspects of management of personnel.

After studying this unit, you should be able to :

- explain the different categories of staff needed for a library;
- estimate the manpower required using the techniques like job description, job evaluation, job analysis, standard staff formulae, etc.,
- work out details for recruitment, selection, orientation and staff development;
- describe the methods used for performance appraisal

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## 8.1 INTRODUCTION

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Three basic components of a library are documents, users and staff. The staff brings users and books into purposeful contact. Well trained and motivated human resources are of vital importance for a service organization like library.

There are various types of library jobs to be performed. It requires persons with professional knowledge, competence and proper attitude to render effective library service.

The present complex working of a large library requires different categories of staff, professional, semi - professional specialised in the use of modern technologies, administrative and financial work.

In order to achieve goals and objectives of the library, manpower requirement need to be assessed, located and harnessed. Job analysis and knowledge of work can help in determining manpower requirements, skills necessary for the duties and responsibilities entrusted.

Orientation of newly appointed staff, their training and periodic evaluation of performance are *sine-qua-non* of good personnel management. The activity which directs and coordinates the manpower into a kind of dynamic organization is the personnel management.

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## 8.2 LIBRARY PERSONNEL

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The type of library, the nature of clientele, the services offered and area of working space are the factors that help in estimating manpower required. But irrespective of the number, looking at the working of different libraries in India and services offered by them, it will be seen that various types and levels of personnel are required to plan and execute the activities to the fullest satisfaction of users.

### Categories of Staff:

A modern library will usually have the following categories of staff:

- i) Professionals
- ii) Semi-professionals
- iii) Specialised in skills other than Library and Information Science i.e. Computer and Communication Technologies, Reprography etc.
- iv) Persons involved in Administrative and Financial work
- v) Unskilled workers.

### 8.2.1 Professionals

These persons work at the top and middle level management. They possess high academic and professional qualifications and several years of library work experience.

Top ranking professionals will be responsible for planning, policy making, quality control, budgeting, resource mobilization and public relations. They have to be on different decision making committees and play leadership role. Their involvement will be predominantly in intellectual and non-routine activities.

The professionals working at middle level or as heads of different sections have to develop innovative methods, new procedures and take responsibility for execution of activities as per

general guidelines, policies and objectives. Supervision and monitoring also come under their purview. They need display professional expertise and fulfil the information needs of users.

Librarians of University, Special and Public Libraries, Deputy Librarians and Assistant Librarians and Professional Assistants fall under the professional categories.

### **8.2.2 Semi-professionals**

The persons in this category perform routine and repetitive jobs. This type of work forms essential part of all sections of the Library, i.e. acquisition, technical services, maintenance, circulation and reference service. Checking up for bibliographical details of books to be ordered, accessioning, physical processing of books, typing and filing of catalogue cards, charging and discharging, claiming non-receipt of issues of current periodicals, preparing periodicals for binding etc. are some examples of routine jobs in the library.

The qualifications required of a semi-professional is a certificate in library science or equivalent under-graduate qualifications. They are designated as technical assistants, cataloguers, record assistants etc.

### **8.2.3 Supporting Staff with specialized skills**

A large modern library irrespective of its type has to adopt computer, communication and media technologies for providing library and information service efficiently. Use of computers for house-keeping and storage and retrieval of information, xerox and micrographic facilities, use of audio-visual materials, bringing out regularly indexing and abstracting bulletins etc. has become unavoidable for providing comprehensive and efficient library and information service.

It therefore becomes necessary to employ personnel that possess specialized knowledge and skills, like technical writing, system and analysis, programming, operation research, information technology, reprography, micrography, etc.

This supporting staff should work hand in hand of library and information science personnel and earn a good name for the library.

### **8.2.4 Administration and Finance Personnel**

This is another category of personnel which is very necessary for an efficient management of a library. Jobs like purchase of stationary, maintenance of building, making payments in accordance with budgetary provisions, maintaining personal files and records of all staff, etc. are the duties of administrative and finance personnel. Administrative and finance officers, accountants, section officers, office assistants, stenographers, typists etc. belong to this group.

### **8.2.5 Unskilled Workers**

These personnel do not require special skills, cleaners, attenders, sweepers, chowkidars are all unskilled workers. Generally there will be no clear cut gradation of the cadres. But they are required in good numbers in a large university, public or special library to maintain cleanliness, take care of library property and to act as messengers.

#### **Self-Check Exercise-1**

Mention different categories of staff employed in libraries. Briefly describe their functions.

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

ii) Compare your answer with the model answer given at the end of this unit.

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### 8.3 STAFF REQUIREMENTS

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After we discussed the various categories of staff, it becomes necessary to assess the requirement of personnel. We can estimate the number of persons required under different categories based on library activities, levels of responsibilities, workload and performance of routines.

It is an important task of the top management to find out the right type of staff to perform various jobs satisfactorily. The management techniques like job analysis, job description and job evaluation will be useful in this respect.

#### 8.3.1 Job Analysis

Dr. Ranganathan defines a job as an ultimate piece of work which is best done at a single stretch and whose duration is ordinarily short. A number of related jobs constitute an item of work. A number of items of work would aggregate to form blocks of work, usually entrusted to a section. In a very large library, sections are grouped into divisions and divisions into departments and so on and thus higher levels of organizational structure is created.

Job analysis implies the process of analysis a given job into different distinctive items, in order to estimate the quantity of work involved and type of qualifications required for performing those jobs.

It finds out what is to be done and determines best method of doing it. It provides invaluable indicators which help in the entire operational process and results in higher productivity.

In brief we can say that the following advantages accrue owing to the use of job analysis technique:

- a) we can determine the need for personnel in concrete terms
- b) step by step procedure could be established for each operation leading to the preparation of work flow charts.
- c) helps in specifying the duties and responsibilities required of each job.
- d) a manual could be prepared for training the staff.
- e) provides a scientific base for fixing salaries and wages for various types of jobs
- f) leads to job description which would be helpful in the recruitment process.
- g) helps in experimenting with modern devices - like time and motion studies which are

instrumental in increasing overall efficiency and productivity.

h) will be helpful in computer applications to library work.

### Self-check Exercise-2

What is job analysis. List out its advantages.

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

ii) Compare your answer with the model answer given at the end of unit.

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### 8.3.2 Job Description

A thorough job analysis helps in job description. Job description provide requirements of various operations, duties, equipments, methods and working conditions, responsibilities and other essential factors relating to a particular job. A clear cut job description is necessary to improve the selection and training of staff. The selected employees will have an idea as to what is expected of them and whether they will be able to perform duties satisfactorily.

A good job description should be able to

- identify the job
- provide the job title
- give a clear description of duties including procedures to be followed and tasks to be performed.
- explain the type of degree of supervision
- identify the relationship of the job to the total institution including the title of the person to whom the incumbent reports;
- describe education, experience, special skills, knowledge and abilities required
- explain salary scale and the total emoluments including fringe benefits
- inform of promotion avenues.

### Self-check Exercise - 3

What constitutes a good job description?

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

ii) Compare your answer with the model answer given at the end of this unit.

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### 8.3.3 Job Evaluation

This technique is used for establishing the worth of a job in relations to other jobs in the organisation. Job evaluation provides a scientific basis for fixing responsibilities in a position and corresponding compensation. The following four methods are used for job evaluation:

(a) Ranking method (b) Classification system, (c) Factor comparison method and (d) Point system.

**a) Ranking Method:** This method involves comparing each job in relation to others in terms of technical skills, complexity, work environment, and other specific job description factors that help in determining the value of the job. By comparing jobs under consideration and ranking them low to high, job requirements and emoluments are fixed.

**(b) Classification System:** This is a traditional method of job evaluation. Classes of jobs are defined on the basis of duties, skills, abilities responsibilities and other job related qualities. The jobs are arranged in a hierarchy with several job arrays. This is a flexible system in as much as it allows new positions in the hierarchy. In Indian libraries usually this system of job classification is used as discussed in section 8.3.1 above.

**(c) Factor Comparison Method:** This method presupposes some essential pre-requisites and conditions for each job. The salary of each job is fixed by taking these factors into consideration. The following factors are found in almost all jobs of an organization.

- Mental requirements i.e. a job consists of counting, calculations or mere copying
- Skill requirements i.e. capability to grasp and communicate
- Physical requirements i.e. whether job needs heavy or light physical work
- Responsibility i.e. physical plants, safety of persons employed in the organisation
- Working conditions i.e. climatic and atmospheric conditions of the place of working having bearing upon the health of the workers.

They key jobs are then ranked under each of the factors. The next step is to decide for each job the current rate to be paid for each factor. Comparisons are then made between the ranking and agreed factor rates. Finally factor comparison schedule is prepared indicating the piece rate value of all the key jobs under each of the factor heading. The sum total of these factors value represents the cash rate for the job in question. All other jobs are fitted into the scales obtained for the key jobs and remuneration fixed by taking into consideration these five factors.

**d) Point System:** In this method jobs are evaluated by identifying specific compensation factors in each job. Each factor then assigned points according to its importance. In fulfilling the objectives of the organisation. Points are correlated to rates of compensation. Each job is assessed in terms of comparable factors and points. These factors include (a) skill, (b) effort,

(c) responsibility and (d) job conditions. Each factor may be further divided into education, experience, training and mental complexity and adaptability. Each of these sub-factors may be further graded into five degrees. Each degree is then assigned points which in turn indicate the rate. The aggregate points allotted to each job form the basis of the salary scale.

#### Self-Check Exercises - 4

List out different method of job evaluation.

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

ii) Compare your answer with the model answer given at the end of unit.

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#### 8.3.4 Staff Size

The factors like library working hours, total number of documents and users, new additions per annum, books borrowed and returned every day, average number of reference queries and answers per day, documentation services offered including photo copies supplied etc. are helpful in determining the size of the staff.

A number standards are available about staff formula but there is no unanimity or finality about them. Dr.S.R. Ranganathan based on his experience and research has prepared a staff formula for Indian libraries. Although it is pretty old, but still provides good guidance for deciding the number of staff required. With some modifications this formula could be applied to any library.

The details of the formula are presented below in relation to public and university/college libraries.

Sections	Public Libraries	University/College Libraries
Books	1 person for every 6,000 volumes added in a year	Same as for public libraries.
Classification & Cataloguing	1 person for every 2000 volumes added in a year	- do -
Periodicals	1 person for every 1000 periodicals currently taken	1 person for every 500 periodicals currently taken
Reference	1 person for every 50 readers using the library in a day	Same as for public libraries.
Circulation	1 person for every 1500 hours for which one counter is open	- do -
Documentation	--	1 person for every 1000 entries prepared

Maintenance	1 person for every 6000 volumes added in a year and 1 person for every 50,000 volumes in the library.	1 persons for every 6000 volumes in a Year 1 person for every 500 volumes to be replaced in a day 1 person for every 1,00,000 volumes in the library.
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**Self-Check Exercise - 5**

State the factors one need to take into consideration for determining the staff size.

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

ii). Compare your answer with model answer given at the end of unit.

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**8.4 STAFF RECRUITMENT AND ORIENTATION**

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The recruitment of library staff has to be planned properly. It will be ideal to have a policy relating to recruitment, training and promotion of staff. Such policy guidelines will help administration to follow a systematic procedure in recruitment and selection of staff. Various steps to be taken in this connection are planning, selection and orientation of the newly recruited staff.

**8.4.1 Planning**

(a) Proper planning is essential to assess the number of persons required and also their categories. Improper planning may lead to either overstaffing or understaffing.

The planning should aim at:

- avoiding imbalances in distribution or allocation of manpower
- controlling the cost aspect of human resources
- formulating transfer and succession policy.

(b) The second step necessary will be to call for applications advertising through newspapers, professional journals, newsletters etc. Details about the post need be made available, if necessary through a proforma application form which should contain title of the post, personal data, like name, address, sex, marital status etc. educational and professional qualifications required, work experience, scale and salary, fringe benefits, promotional avenues, a brief resume of duties and responsibilities and last date for submission of application.

(c) The planning should also include constituting of a well thought selection committee and the dates for its meeting.

### 8.4.2 Selection Procedure

The process of selection is very crucial in as much as it finalises the recruitment. Therefore the person chosen should be a successful match to the post advertised.

An objective analysis of personal data provided in the application form and verification of past performance from the letters of referees and previous employer, conducting intelligence, attainment and aptitude tests, personal interviews by the statutory selection committee, etc. are the means for selecting suitable candidates.

The selected candidates are issued letters of appointments after the recommendations of the selection committee are approved by competent authority.

#### Self Check Exercise - 6

Briefly explain the process of recruitment and selection of staff.

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

ii) Compare your answer with the model answer given at the end of this unit.

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### 8.4.3 Orientation

The newly appointed person cannot work efficiently immediately. He will have numerous questions in his mind. His doubts and fears need to be clarified. Irrespective of their experience or qualification, all new employees need initial training/orientation. Purpose of orientation is to instill confidence in them about the new environment and motivate them to do their best with interest and involvement.

The orientation programme covers two basic areas; general information and the goals, objectives and philosophies of organisation.

Information concerning pay periods, vacations, different types of leave they are entitled to, leave travel concessions and other fringe benefits constitute the general information.

Introduction of objectives and goals of the library and various activities and services offered by it and finally specific jobs that are expected to be performed by such appointees form the second area of orientation.

Lectures by senior staff, audio visual presentation, staff manuals, library tours, etc. are the methods used in initiating the newly recruited staff to their new organisation.

### Self-Check Exercise-7

How is a newly appointed person oriented to the new organisation?

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

ii) Compare your answer with the model answer given at the end of this unit.

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### 8.5 STAFF DEVELOPMENT

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With the progress of knowledge and use of new technologies, it becomes necessary for each library to make provision for providing continuous training and education to its staff. This is necessary for quality output from the staff and their best performance. The rapid changes that are taking place in all types of libraries are compelling libraries to attach new importance to staff development.

In India, staff development activities and programmes have gained importance in recent years. The various continuing education programmes are being conducted by national professional associations - ILA, IASLIC by arranging short term training courses in computer application, thesaurus construction, bibliometrics and various aspects of library management. Workshops and seminars organised by them are also useful for updating the knowledge and skills of professionals. At the national level INSDOC and DRTC and International level IFLA, UNESCO, etc. are conducting such training programmes.

UGC as a part of new educational policy and its action plan has established academic staff colleges in universities. These colleges are conducting orientation and refresher courses for library professionals.

Every library, regardless of size or type needs a planned staff development. Human resources are very valuable for all libraries. Their potential could be exploited by upgrading knowledge through regular training programmes.

### Self-Check Exercise - 8

Why staff development programme is of utmost importance for all libraries ?

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

ii) Compare your answer with model answer given at the end of the unit.

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## 8.6 PERFORMANCE APPRAISAL

Performance appraisal is an important tool for assessing the job-related strengths and weaknesses of an employee. A systematic written performance appraisal system provides a sound method for comparing the performance of employees which in turn helps in taking decisions for pay increase or promotions. It also helps in assessing the potential of employees, their good and weak points and designing management development programmes for them. The performance appraisal is an important command in the hands of seniors which the subordinates respect.

Briefly we can summarize the purposes of appraisal or performance as follows:

a) Administrative Use:

- tasks assigned and fulfilled
- suitability for promotions
- transfers, lay offs and termination
- evaluation of training needs
- personal traits, honesty and integrity, discipline, conduct and behaviour, relations with other employees, etc.

b) Self-improvement of the employee:

- He should know where he stands
- He should make up for his deficiencies

Each organisation will have its own schedule and method for performance appraisals, Indian almost all organizations including libraries record performance appraisal once a year in specially designed confidential report forms. They are prepared by immediate supervisors. These reports are reviewed by senior officers and finally assessed by Chief Librarians. Generally rating scales used are, excellent, very good, good, satisfactory, unsatisfactory, etc. Any defect or inadequacy recorded is communicated to the employee and then he is given an opportunity to correct himself.

The success of performance appraisals depends on establishing standards to judge the quality and quantity of work. Though performance appraisals have come to stay, the methods applied for their recording are not fool proof. Individual traits of the reporting officers, like prejudice and partiality, leniency or strictness, central tendency, etc. influence the ratings.

### Self-Check Exercises-9

What purposes are served by performance appraisal?

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

ii) Compare your answer with the model answer given at the end of the Unit.

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## 8.7 SUMMING UP

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In this unit., we have discussed various aspects of personnel management in libraries. Different categories of staff that work in libraries, professionals, semi-professionals and supporting staff with specialized skills like computer applications to library, reprography, micrography etc. and trained in administrative and financial matters including unskilled persons have been mentioned providing brief details about the functions they perform.

The assessment of functional requirements of personnel including their number under various categories could be done by using management techniques like, job analysis, job description, job evaluation and standard staff formulae.

The process that need to be followed for recruitment and selection of personnel, their orientation, development through continuing education programmes and performance appraisals, has been delineated and discussed.

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## 8.8 MODEL ANSWERS TO SELF-CHECK EXERCISES

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- 1) The categories of staff employed in libraries and their functions are:
  - i) Professionals: They possess high academic and professional qualifications and work experience. Their functions include, planning, policy making, budgeting, quality control, fund-raising, public relations, etc. They provide leadership, direction and get the programmes executed by adopting innovative practices.
  - ii) Semi-professionals: Usually possess certificate in Library Science and perform routine jobs and assist professionals.
  - iii) Supporting staff with specialized skills: Computer applications, reprography, micrography, audio-visual etc. are some of their functions.
  - iv) Administrative and Finance personnel: They are responsible for maintenance of buildings, purchases, service records, etc.
  - v) Unskilled workers: Jobs like cleanliness, security of property, carrying messages and communications, are performed by them.
- 2) The advantages of job analysis are: They spell out staff requirements in concrete terms i.e. qualifications, experience and skills required. Provide scientific base for fixing salaries and wages, help establish step by step procedure for each job. Help preparing staff manuals and work flow chart and adapting modern technologies including computer applications.
- 3) A good job description includes details like title, salary, duties and responsibilities, qualifications required, minimum experience, promotional avenues, to whom to report, supervision, etc.
- 4) The job evaluation methods are listed below:

- a) Ranking method: Comparing a job in relation to others and ranking it low or high in terms of job requirements and emoluments.
  - b) Classification system: Classes of jobs are defined on the basis of duties, responsibilities, skills and abilities.
  - c) Factor comparison method: Factors like, mental requirements, skill requirements, physical requirements, working conditions etc. form the basis for ranking and rating.
  - d) Point system: Specific compensable factors in each job are identified and graded and salary scales are decided.
- 5) The factors that form the basis of staff formulae are:
- Library hours per day
  - Total number of documents in the library
  - Number of additions per annum
  - Daily visitors to the library.
  - Current periodicals in-take
  - Book circulation
  - No. of reference questions asked per day
  - Bibliographies and documentation services offered.
- 6) Recruitment and selection process include the following steps:
- a) Planning - avoid imbalances, proper allocation of manpower, controlling cost and deciding transfer and succession policy
  - b) Advertising through newspapers, professional journals and newsletters, etc. providing all particulars.
  - c) Constituting a thought out selection Committee
  - d) Selecting by analysing personnel data, arranging tests, and personnel interviews.
- 7) Orientation programmes should include: Introduction to goals and objectives of the library, its functions, services, future plans, a tour of the library, audio-visual presentation, posting in each section for few days and getting the newly employed staff practical knowledge of all aspects and routines of library work.
- 8) Professional knowledge and skills are expanding very fast. The computer and communication technologies are being adopted for efficient library operation and services. Therefore providing continuing education for library staff has become essential. The potential could be put to maximum use allowing staff to develop by participating in professional, conferences, seminars, training programmes etc.
- 9) The performance appraisal serves the following purposes:
- a) Administrative purposes:
    - tasks assigned and fulfilled
    - transfers, lay offs and termination

- evaluation of personal traits - honesty, integrity, discipline, conduct and behaviour
- b) Self improvement of the employee:
  - Employee should know where he stands
  - He should make up from his deficiencies.

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## 8.9 ASSIGNMENTS

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- 1) Make a case of different categories of personnel working in any standard public library in Andhra Pradesh.
- 2) Write a critique on staff formula of Dr. S.R.Ranganatham.
- 3) Briefly discuss the continuing education programmes of ILA, INSDOC, and IASLIC.

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## 8.10 RECOMMENDED BOOKS

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1. Khanna, J.K. **Personnel Management in Libraries**. New Delhi: ESS ESS Publishing, 1981.
2. Mittal, R.L. **Library Administration: Theory and Practice** 5 th ed. New Delhi: Metropolitan Book Co., 1989 .
3. Narayana, G.J **Library and Information Management** New Delhi: Prentice-Hall of India, 1991.
4. Ranganathan, S.R. **Library Administration**. 2nd. ed. Bombay: Asia Publishing House, 1960.

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## 8.11 GLOSSARY

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**Induction:** Initiation of newly appointed staff to the library to fit them into a new environment.

**Job Analysis:** The process of analysing specific job based on various tasks involved, machines and equipments used, skills, knowledge and personal traits required to perform the job.

**Job Evaluation:** The process of establishing the work of a job in relation to other jobs in the organisation.

**Organisation Development:** A planned process designed to improve organisational effectiveness and health through modifications of individual and group behaviour.

**Performance Appraisal:** A systematic evaluation of an employee's job-related strengths and weaknesses.

**Staff Development:** Continuing education programmes to keep the staff well informed of current developments in the field and provide opportunities to acquire new skills and knowledge.

# **UNIT-9 : FINANCIAL MANAGEMENT IN LIBRARIES**

## **Contents**

- 9.0 Aims and Objectives
- 9.1 Introduction
- 9.2 Library Finance
  - 9.2.1 Source of Income
  - 9.2.2 Library Expenditure
- 9.3 Methods of Financial Estimation
  - 9.3.1 Per Capita Methods
  - 9.3.2 Proportional Methods
  - 9.3.3 Method of details
- 9.4 Library Budget
  - 9.4.1 Budgetary Methods
  - 9.4.2 Use of Standards and Norms
- 9.5 Budgetary Process
  - 9.5.1 Preparation of Budget
  - 9.5.2 Defending the budget request
  - 9.5.3 Approval and implementation of budget
- 9.6 Accounting
  - 9.6.1 Different types of Accounts Registers
- 9.7 Auditing
- 9.8 Summing up
- 9.9 Model Answers to Self Check Exercises
- 9.10 Assignments
- 9.11 Recommended Books
- 9.12 Glossary

## **9.0 AIMS AND OBJECTIVES**

Finances act as the live-wire of all institutions, and library is no exception to this rule. Therefore, librarians need know all nuances of fiscal management. This unit provides details necessary to manage the finances of libraries.

After studying the Unit you will be able to:

- identify sources of finances for different types of libraries
- know the methodology for the estimation of finances.
- explain budgetary methods and procedures
- apply norms for preparing library budget.
- describe the importance of accounting and auditing procedures

- get acquainted with different types of financial records.

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## 9.1 INTRODUCTION

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To organize libraries and for providing the services needed by users, finance plays a vital role. Most of the libraries are not revenue earning institutions but they are growing organisms. They, therefore, need perennial sources of finance for sustenance and growth. As such, libraries have to be careful in managing their finances and controlling expenditure.

This unit discusses in detail all aspects of fiscal management such as sources of income, items of expenditure, methods of financial estimation, types of budgets, uses of budgets, planning and preparing of budgets and getting them approved, accounting and auditing and maintenance of appropriate records.

Budgets are central to the financial management as it is an instrument of financial control. Due to growing emphasis on accountability, pressure of inflation, proliferation of reading materials that need to be acquired, impact of technology and most importantly competing demands on limited sources, a careful look at the budgetary methods has become essential. This unit, therefore, discusses traditional and newer budgetary methods to get a clear idea about the relevant issues.

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## 9.2 LIBRARY FINANCE

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Once established, a library is expected to provide continuous and up-to-date information to its users. The rhythm and tempo of readers' services depend on good physical facilities, availability of reading materials in different physical forms and updating the library stock on continuous basis, providing reprographic, micrographic and computer based bibliographic and literature search services, etc. Equally important is qualified, committed and motivated professionals, who could maximize the use of reading materials and available facilities. Only an adequate and continuous provision of funds can ensure all such activities and facilities.

### 9.2.1 Sources of Finance

The sources of finance differ from library to library. They include: (i) Government, (ii) Funds from parental organisations, (iii) Library Cess, (iv) Subscriptions, (v) Endowment, (vi) Gifts and Donations both in cash or kind, (vii) Selling of library services. The sources of finances for different types of libraries are discussed below.

#### 1) Public Library

##### a) Library Cess:

There are eight states in India which have Public Libraries Acts. But only Five States, viz., Tamil Nadu, Andhra Pradesh, Karnataka, Kerala and Haryana have made provision in the acts to levy Library Cess. However, there is no such provision in the Public Libraries Acts of Maharashtra, West Bengal and Manipur.

Although the amount collected from the cess is not adequate for the efficient functioning of public libraries, it helps creating awareness about public libraries among the public.

**b) Government Grants:**

Public library service in India has not received much attention of both the State and Central Governments as it deserves. The States, where Public Library Legislations exist, the governments have made provisions in the Acts for providing grants linked to the amount collected as library cess. Often such States also provide ad hoc grants to tide over financial crisis for public libraries. The public libraries are better placed in such States as compared to States without Acts.

The Central grants to public libraries are channelized through Raja Rammohan Roy Library Foundation (Calcutta) both in the shape of reading material and amounts for construction of buildings, purchase of storage materials, etc. However, these grants are not at all adequate compared to the needs. Enact of a Central Law and State Laws in all States will go a long way in improving the situation.

**c) Subscriptions:**

In spite of the fact that *UNESCO's public libraries manifesto (1972)* envisaged that public library service should be available to all without any charge, subscriptions are collected by many libraries in our country which are the only source of their revenue. The plea not to collect subscription was made by Dr.S.R.Ranganathan as early as in 1931. The Library Advisory Committee, Government of India in its report (1957) describes subscription libraries as "stagnating pools". However, subscriptions continue to be one of the major sources of revenue although inadequate to maintain libraries.

**d) Endowments:**

In USA and other Western countries, endowments and private benefactions, are common sources of finance. But in India it is not so. The grants received from endowment or private benefactors are not of recurring nature and hence could be spent only as a capital fund for building, furniture, etc. In India, such sources of revenue are rarely available to public libraries. The practice is not that common in India as that in Western countries.

**e) Minor Sources:**

These include fees and fines, gifts in cash or kind, sale of old newspapers, xerox and micrographic charges.

**Self-Check Exercises-1**

List the sources of finance for Public libraries.

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

ii) Compare your answer with the model answer given at the the end of this unit.

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## 2) Academic Libraries

### a) University and College Libraries

#### (i) Major Source of Revenue:

University and College libraries receive their major funds from two sources:

- (1) **Budgetary Grants:** The universities and colleges make allocation to university and college libraries regularly from their own budgets.
- (2) **Grants from University Grants Commission (UGC):** The UGC under its development programme, provides funds to university and college libraries. These grants are plan or non-plan grants and recurring or non-recurring grants. Grants that are given for meeting capital expenditure such as construction of library buildings and purchase of computers, are non-recurring grants. Recurring grants are utilized primarily for acquiring library materials and processing them for use. At times, University and College Libraries get ad hoc or special grants from both UGC and State Governments.

(ii) **Minor Sources of Revenue:** The following types of income could be categorized as minor sources:

- Income from library fees collected from students
- Income from gifts - Individual or organizations make such gifts, in cash or kind.
- Fines collected from borrowers for overdue books
- Money collected from readers for resorting to malpractices
- Sale of wastepapers (old newspapers, magazines etc.)
- Charges for providing photocopies of documents

#### (b) School Libraries:

Although libraries are the most important adjuncts of schools which promote reading habits of students at an early age, unfortunately very few schools in India have good libraries.

The school libraries depend mostly on the following sources for funds:

- The Library fees collected from students
- Contribution from the management
- Government grants
- Donations from public

#### (c) Special Libraries:

Comparatively, special libraries are in a better position so far the sources of income are concerned. Institutions involved in research activities are very much concerned about the availability of latest information and therefore, make regular provisions in their budgets for libraries. In addition, whenever special research projects are taken up, some amount allocated for the purchase of books and journals. Many funding agencies which utilize the services of such institutions for doing research on specific issues (sponsored research projects). The research grants usually include special allocation for acquiring reading material.

## 9.2.2 Library Expenditure

Income and expenditure are two very important components of financial management. We have already discussed in Section 9.2.1 the sources of income of different types of libraries. All types of libraries face financial constraints. Therefore, it becomes necessary to understand some basic characteristics of library expenditure so as to strike a balance between income and expenditure.

### Characteristics of Library Expenditure:

Some of the essential characteristics of library expenditure are described below:

#### a) Spending Institutions

Libraries do not fetch any revenue for providing services but are spending institutions. They are also not profit-making institutions. Unlike industries and public utilities like electricity boards, the gains from library are not visible. Economic returns of library and information are not directly measurable, but they provide information that contributes to social and economic development of the nation. Information is an essential ingredient in the decision-making process in research, business, industry and as such investment in libraries leads to invisible economic returns. Expenditure on libraries in educational institutions is an investment in human resource development.

#### b) Growing Institutions

As has been rightly pronounced by Ranganathan in the Fifth Law of Library Science "Library is a growing Organism". There is continuous growth in documents, readers and staff necessitating increasing in expenditure.

#### c) Recurring Expenditure

Libraries are not only growing institutions, but once established stay for ever. Their effectiveness depends on continuous flow of finances and recurring funds.

#### d) Equitable Allocation

While allocating funds, equal weight need be given to all subjects and services. Distribution of funds has to be balanced. Comparative prices of reading materials in different subjects should be borne in mind.

#### e) Overall Economy

The expenditure has to be balanced with income, because the sources of income are always limited. Utmost economy has, therefore, to be achieved while incurring. One needs to keep in mind the dictum of Melvil Dewey " Best books for the largest number at the least cost".

### Self-Check Exercise-2

What are the characteristics of library expenditure?

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

ii) Compare your answer with the model answer given at the end of this unit.

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## 9.3 METHODS OF FINANCIAL ESTIMATION

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Having known about the sources of income and the basic characteristics of expenditure, it will be worthwhile to understand the methods that help in the estimation of financial requirements. There are certain thumb rules that help libraries in arriving at reasonable estimates of financial requirements of various types of libraries to provide a reasonable level of service. They are briefly discussed below.

### 9.3.1 Per-Capita Method

In this method, a minimum amount per head of population is fixed, considered as essential to Library service maintaining certain required standards. Estimation of this basis becomes difficult in respect of public libraries.

The problem is whether the entire population of a given area or only the literate people, or the adult literate population should form the basis of such estimation. Besides, by using technologically advance mass media, libraries can reach even illiterate population.

Various Commissions, Committees and Experts have from time to time recommended certain norms for per capita expenditure although very old, could be used with certain modifications keeping in mind such factors as the rate of inflation, increase in cost of reading materials and staff salaries.

Details about these norms are provided below:

i) **Public Libraries:** Way back in 1950, Dr. Ranganathan suggested 50 paise per capita expenditure. Obviously, the rate has to be much higher now.

ii) **University and College Libraries:**

- a) The UGC Library Committee (1957) suggested Rs.15/- per student and Rs.200/- per teacher as per capita rate.
- b) The Education (Kothari) Commission (1964-66) recommended, Rs.25/- per student and Rs.300/- per teacher.
- c) Dr. S.R.Ranganathan's suggestion was Rs.20/- per student and Rs. 300/- per teacher or 50/- per student.

### 9.3.2 Proportional method

In this method, A fixed proportion or percentage of the total budget of an organization has to be allocated for libraries. In case of public libraries, such proportion could be worked out in relation to budgetary allocation for education.

Details of various recommendations are given below:

**(i) Public Libraries:**

- a) Raganganathan: 10% of the total budget of the State/Local/Central Governments;  
OR 6% of the education budget of a local/state/federal government;
- b) Working Group of Libraries (Planning Commission, 1967): 1-5% of the education budget.

**ii) University and College Libraries:**

- a) University Education (Radhakrishnan) Commission (1948-49) : 6.5% of University's budget.
- b) Education (Kothari) Commission (1964-66): 6.5% to 10% of University/College budget depending on the stage of development of the concerned library.
- c) Khandala Workshop on College Libraries organised by the UGC (1979) : 4% of the College budget for books and journals, binding and other library expenditure. Separate allocation for salaries and capital expenditure.
- d) Association of Indian Universities (1986): 10% of University and College budget.

**9.3.3 Method of Details**

In this method, all items of probable expenditure are worked out while preparing financial estimates for the library. The major items are: salaries and wages, reading materials (Books, periodicals, newspapers, microdocuments and other non-book materials, binding and maintenance of the library building including heating, cooling and lighting).

The estimation has to be based keeping in mind the number of readers to be served and types of services to be provide.

Dr.Ranganathan suggested that while preparing such detail estimates for public libraries, the items of expenditures should be divided into two categories: recurring (current), and non-recurring (capital) expenditure. The financial estimates prepared by the Library Advisory Committee, Government of India (1957) for creating network of public libraries are prepared on this basis. UGC Library Committee (1957) has worked out details of expenditure for college and university libraries using the Method of Details.

**Self-Check-3**

List the methods of estimating funds for libraries?

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

ii) Compare your answer with the model answer given at the end of this unit.

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## 9.4 LIBRARY BUDGET

The word budget is derived from a French word 'Bougettee'. The word denotes a leather pouch in which funds are appropriated for meeting anticipated expenses. In fact, this continues to be the basic idea behind budgeting. Budgets are formal statements of the financial resources set aside for carrying out specific activities in a given period of time. In fact, this continues to be the basic idea behind budgeting. Budgets are formal statements of the financial resources set aside for carrying out specific activities in a given period of time. It is a numerical statement indicating the plans, policies and goals of library for a specified period. It is a guide for incurring expenditure for different library activities and operations throughout the year, as budgets are generally prepared for a year. The basic principle behind the budget is that the estimated expenditure should not exceed the income.

Budgets are most widely used means for planning and controlling of library activities at every level. Besides being an instrument of control, it helps in communication, coordination, evaluation and motivation. A good budget is an outcome of discussion between the Chief Librarian and different section heads. Such interaction during budget development process will help define and integrate the activities of different sections of a library.

Being a very important instrument, it becomes essential to know the budgetary process and different methods of budget.

### 9.4.1 Budgetary Method

The methods followed in Indian Libraries for preparing budget are mostly traditional. More or less than not, the allocations made in the previous financial year become the bench mark for the current year. But in recent times, some innovative methods are being considered by librarians for preparing their library budgets. These methods are listed below:

- i) Line by line Budget
- ii) Planning Programming Budgeting System (PPBS)
- iii) Zero Base Budget (ZBB)
- iv) Site Budget

#### 1) Line by Line Budget

This is a traditional method. It divides items of expenditure, line by line into broad categories such as books and other reading materials, salaries and allowances, utilities, maintenance, supplies, travel contingencies, etc. These are all operating expenses (recurring). Besides, provision is made whenever necessary for capital expenses (non-recurring). The following items are included under this category.

- a) **Equipment:** Typewriter, filing cabinets, racks, chairs, tables, copying machines, computers and computer accessories.
- b) **Renovations or remodelling:** Fixing new partitions, doors, or remodelling of stack area;
- c) **Major Construction:** Extension of the existing building, or the construction of a new building.

In formulating line by line budget various standards and ratios are taken into consideration. But usually this budget is prepared taking into account past years' expenditure on each item.

In order to cover the increased cost of materials, salaries and wages, proportional incremental changes are made in the figures. This method of budgeting is relatively easy but of traditional nature. It is inflexible and does not allow review activities. The libraries cannot depict dynamism in their working and will be slow in adopting innovations.

## 2) Programmes Planning and Budgeting System (PPBS)

An innovative method was first introduced by Charles Hitch in 1961 in the Department of Defence of the U.S. Government. While in Line by Line budget, funds are allocated on the basis of fixed heads, in PPBS they are allocated to programmes produced to attain goals set in the plan. It enables libraries to delineate objectives, analyze cost of benefits of the existing programmes, and find better and cheaper alternative methods to achieve set objectives.

PPBS is based on the following three operational concepts:

- a) Developing an analytical ability for examining in depth the objectives and the programmes designed to meet them.
- b) Forming a 5-year or more programming process combined with a sophisticated management information system.
- c) Creating a budgeting mechanism that can take broad programmes decisions, translate them into refined budgetary decisions and present the results for action.

The factors that help in accomplishing the process of PPBS are:

- i) Identifying library objectives
- ii) Relating objectives to specific service programmes
- iii) Relating programmes to resource requirements
- iv) Relating resource inputs to budget (Rupees).

Under this budgeting system, library services and activities are planned, analysed and interpreted. It emphasizes on process purpose and achievement.

The application of PPBS requires knowledge of costing. Cost is assigned to each programme on the basis of unit cost of operation measurement. The staff requirement is determined by correlating number of units of work involved in a job with the number of hours a person works in a year. Individual programmes are then integrated to prepare performance budget for the whole library. A feedback during the progress of programmes helps in detecting deviations, and re-examining objectives and programmes and introducing necessary changes. The unit cost technique and work measurement helps develop a standard cost and purpose of various functions, activities and sub-activities.

## 3) Zero-Base Budgeting

Zero-Base Budgeting method was introduced in 1970 by Peter Phyrri in Texas Instrument, Inc. (USA) as a means of effective planning and fiscal control. The zero base is derived from the first steps in the process - the development of hierarchy of functions based on the assumptions that the unit or agency starting operations for the first time (zero points). Thus the focus of ZBB is on the units purpose and functions. It aims at removing activities that are not needed. The smaller action plans, with the indication of their goals, activities, required resources and priorities are the main stay in ZBB. Each function or package is prepared and then ranked against the others.

The main advantages of ZBB are listed below:

- a) It offers alternatives in the selection of packages
- b) Only those activities that can be justified are included in the budget
- c) The relationship between the quality and level of service and the money required is well established.

#### 4) Site Budgeting

This budgeting system ensures that everyone who is to be served will have access to equal services. The goal of site budgeting is equal funding to each reader and equitable distribution to each unit/branch within a system.

The steps required to be taken to formulate budget under this system are:

- i) Find out how much money is required for the system as a whole;
- ii) Deduct all the costs for central services and costs not easily assigned to a particular location;
- iii) After deduction of expenses required for above mentioned two, remaining funds are allocated to different outlying sites on per capita basis. There are two advantages of this budgeting method: a) patron participation, and b) equitable funding within a system.

#### Self-Check Exercise-4

List the different methods of Library Budget.

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

ii) Compare your answer with the model answer given at the end of this unit.

### 9.4.2 Use of Norms and Standards

Budgetary standards and norms are necessary for preparing budgets and applying different methods discussed above. These norms provide guidelines for estimation of funds required to offer satisfactory service to readers and how these funds could be distributed on various items of expenditure.

We have already discussed in Section 9.3 above three methods of estimating financial requirements for libraries viz. (i) per capita method, (ii) proportional method and (iii) method of details. Under all these methods, we have provided the norms and standards delineated by various Commissions and Committees and professional experts for different types of libraries and therefore, we are not repeating them here. You can go back and study them there.

However, how to distribute the funds on different items of expenditure has not been discussed earlier. Some norms available relating to this aspect are briefly described below.

### Indian

- a) Ranganathan suggested for university libraries in India the following ratios for major items of expenditure:

Staff	50%
Books and other reading materials	40%
Miscellaneous	10%

- b) General norms based on recommendations of various Committees and Commissions and experts:

i) University libraries

Salaries and allowances	50%
Books	20%
Periodicals	13%
Binding	7%
Others (Supplies, Maintenance etc)	10%

ii) Public Libraries

Salaries and allowances	50%
Books	20%
Periodicals and Newspapers	5%
Binding	5%
Others	20%

### American

Evans (*Management Techniques for Librarians*, 2nd ed. New York: Academic Press, 1983)

Books and Periodicals	20 to 30%
Salaries	60 to 70%
Utilities	4 to 5%
Maintenance	3 to 4%
Supplies	3 to 4%
Travel	1%
Insurance	1%

### United Kingdom

James Thomson:

Salaries	50%
Books and Periodicals	40%
Binding	5%
Sundries	5%

With the changing scenario of libraries and introduction of information technology, new standards and norms need be worked out by professionals, associations and experts. The norms

provided above can only provide some guidance. Individual libraries have to incorporate changes according to local situations and variations.

### Self-Check Exercise-5

What are the steps involved in preparing site budget?

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

ii) Compare your answer with this model answer given in the end of this unit.

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## 9.5 BUDGETARY PROCESS

After studying budgetary methods, it would be advisable to know that process practically need be adopted for making the entire budgetary exercises a meaningful experience and its implementation faultless.

The plans and policies laid down by parent organizations - industries, governments, universities, local bodies, etc. - should be borne in mind by libraries while preparing the budget. Also care has to be taken to see that conflicting interests of various divisions and departments are resolved satisfactorily. This process could be discussed under the following three steps:

(i) Preparation of Budget (ii) Defending the budgetary provisions, (iii) Approval and implementation.

### 9.5.1 Preparation of Budget

The budget preparation is a cyclic activity. It is prepared for a year. The cycle of operations includes initiation of process, preparing estimates of revenue, working out expenditure for each unit, consolidation of unit budgets in the overall budget and revision of estimates.

The budget format depends on the financial norms followed by the parent body. The normal practice consists in showing revenue on one side and the expenditure on the other side followed by explanatory notes. Some major heads that form the content of budget are indicated below.

Revenue Head	Expenditure Head
Allocation from parent body	Salary and Wages
Cess and Taxes	Book fund
Fine amount	Maintenance
Reprography/micrography charges	Supplies
Deposits	Services
Ad-hoc grants	Travel

Donations	Training
	Rent
Sale proceeds from discarded items	Capital Expenditure
Interest on deposits	Refund of deposits
Loan recoveries	

While presenting the budget the items are listed in the following formats:

- i) Actual expenditure of previous year.
- ii) Original financial estimates for the current year
- iii) Revised estimates for the current year and
- iv) Original financial estimates for the next year

#### Self-Check Exercise-6

State the contents of budget documents.

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

ii) Compare your answer with the model answer given at the end of this unit.

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### 9.5.2 Defending the Budget Request

The Library budget forms part of the overall budget of the parent body. The final allocations rest with the executive committee of the Institution. They will critically examine the merits of the library request. The library has to compete with several other departments. It has to be recognised that libraries generally do not carry the same weight as other functions.

Therefore, a good public relations strategy and defending the proposed budgetary allocations with statistical data and convincing authorities, how approval of allocations would help the library to support the over all policies and programmes of the parent organizations is necessary. Sometimes comparing the figures and allocations with similar other libraries will be helpful.

The budget document should be prepared in simple and easy to understand language. While defending the budget, the libraries should be prepared to compromise on minor and peripheral issues in order to safeguard the allocation to major activities.

### 9.5.3. Approval and Implementation of Budget

Almost all types of libraries will have Library Committees. All policy decisions including approval of budget is the responsibility of the library committees. The librarian who acts as

Secretary of the Committee should work out the budget meticulously. He has to involve his senior staff in budget preparation process.

The Library budget once approved by the Committee will be incorporated in the total budget of the organization and passed by the appropriate authority.

Once the budget is passed, the same is communicated to the library. In turn the librarian informs all section heads of academic departments, etc. about the funds allocated to their sections/subjects and programmes. The follow up action is taken to see that funds are spent rhythcally and carefully within specified period.

### Self-Check Exercise-6

Briefly explain the steps involved in budgetary process.

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

ii) Compare your answer with the model answer given at the end of this unit.

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## 9.6 ACCOUNTING

Accounting is a basic activity for an efficient financial administration. To ensure that the library funds are utilized properly as per the provision in the budget, a systematic record of income and expenditure is necessary. Maintenance of proper accounts helps detect misappropriations, underspending and overspending.

The following financial records are maintained by libraries to keep tract of receipt and expenditure:

### 9.6.1 Types of Financial Registers

The important accounts registers are:

(a) Cash Book, (b) Ledger, (c) Allocation, (d) Invoice and (e) Salary bill. A brief description of each with specimens is provided.

#### a) Cash Book Register

This is a record of daily transactions of income and expenditure. Daily income like deposits, fine, fees, xerox charges, etc. and expenditure of contingency type is entered in this register. The specimen of the register is given below:

### Receipts

Date	Particulars of receipts	No. & Date of Voucher	Head of Accounts to be credited	Amount
1	2	3	4	5
			Total	

### Expenditure

Date	Particulars of receipts	No. & Date of Voucher	Head of Accounts to be credited	Amount
1	2	3	4	5
			Total	

### b) Ledger Register

This record indicates the budget provision at the top and expenditure on all items and subjects is entered one by one.

Name of the Library				Year					
Budget Provision Rs.				Head					
Serial No.	Name of Vendor	Bill No. & Date	Amount	Amount passed for Payment	Progressive Total	No. of Books	Subject of Librarian	Signature	Remarks
1	2	3	4	5	6	7	8	9	10

### c) Allocation Register

Accounts are maintained in this register headwise and subjectwise. Separate registers are maintained in libraires for books, periodicals, binding, stationary, contingency etc.

Name of Library  
Head of Demand

Year  
Amount Alloted Rs.

Serial No.	Name of Vendor	Bill No. & Date	Amount	Amount passed	Progressive Total	Balance	No. of Books	Subject	Signature of Librarian
1	2	3	4	5	6	7	8	9	10

**d) Bill Register**

Name of the Library:

Month:

Year:

S.No.	Bill No. with date	Name of Publisher/ book seller	Amount	Signature of Librarian	Signature of bill receiver	Remarks
1	2	3	4	5	6	7

**e) Salary Bill Register**

Name of the Library:

Month:

Year:

Name	Pay	DA	CCA	HRA	Other allowances	Total	Orgaanisa- tion's contribu- tion to PF	Grand Total	PF De- duction	House Rent Deduc- tion	Loan Instal- ment de- duction	Other deduc- tion if any	Total dedu- ction	Net paid	Signature of the employee
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16

**Self-Check Exercise-7**

List the important accounts registers that are maintained in a library.

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

ii) Compare your answer with the model answer given at the end of this unit.



- b) Libraries are growing institutions
- c) Library expenditure is recurring
- d) Expenses need be equitable on all subjects
- e) Utmost economy is required in expenditure

3. Methods of estimating funds:

- i) Per capita method, (ii) proportional method, (iii) method of details.

4. Different methods of library budget:

- i) Line-by-line budget
- ii) Planning, Programming, Budgeting System (PPBS)
- iii) Zero Base Budgeting (ZBB)
- iv) Site Budget

5. Steps involved in preparing "site budget":

- i) Find out how much money is required for the system as a whole,
- ii) Deduct all the costs for central services and costs not easily assigned to a particular location.
- iii) After deducting expenses mentioned in (i) and (ii) above, remaining funds are allocated to different outlying sites on per capita basis.

6. Budgetary process includes three steps. They are briefly explained below:

- (i) Preparation of Budget: The budget preparation is a cyclic (yearly) activity. Estimates of revenue and expenditure are prepared unit-wise and consolidated in overall budget and represented in specific format decided by the organizations.
- ii) Defending the Budget Request: The libraries are low priority items. Besides they have to compete with other departments. Therefore, budgetary provisions need to be defended using norms and statistics and comparing with similar other libraries.
- iii) Approval and implementation of Budget: The approval of Library Committee is necessary, before the budgetary figures are incorporated in general budget and voted by concerned authority.

All section heads need be informed of the approved provisions and asked to implement them meticulously.

7. Important accounts registers are listed below: (1) Cash Book Register, (2) Ledger Register, (3) Allocation Register, (4) Bill Register and (5) Salary Bill Register.

8. Audit is necessary in libraries to scrutinize financial transactions and check irregular, inappropriate and wasteful spending. Audit reports are seen by administrative authorities to find out whether allocated funds are spending. Audit reports are seen by administrative authorities to find out whether allocated funds are spent properly.

## 9.10 ASSIGNMENTS

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1. Describe the sources of income available for a University Library.
2. Explain the proportional method of estimating expenditure, delineating recommendations made by different committees and commissions.
3. Discuss PPBS method of budgeting. Why is it not followed by Indian Libraries?
4. What are the norms for distributing funds on different items of expenditure in Libraries?
5. Describe any two important accounts registers maintained in Libraries.

## 9.11 RECOMMENDED BOOKS

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1. Evans, G. Edward. **Management Techniques for Librarians**, 2nd ed., New York: Academic Press, 1983.
2. Mittal, R.L. : **Library Administration: Theory and Practice**, Ed. 5, New Delhi: Metropolitan Book Co., 1989.
3. Narayana, G.L. : **Library and Information Management**. New Delhi : Prentice Hall of India, 1991.
4. University Grants Commission, Library Committee. **University and College Libraries**. New Delhi: UGC, 1965.

## 9.12 GLOSSARY

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<b>Accounting:</b>	A systematic maintenance of the income and expenditure record.
<b>Auditing:</b>	Statutory, scrutinizing of financial transactions of an institution.
<b>Budget:</b>	An estimate of revenue and expenditure for a financial year.
<b>Financial Estimation:</b>	Estimating the amount of money required for administering services.
<b>Non-plan Grants:</b>	Regular Budgetary grants given every year.
<b>Non-recurring Expenditure:</b>	Expenditure that is incurred occasionally on items like building, equipment, machinery etc.
<b>Plan Grants:</b>	Funds made available for development programmes under five year plans.
<b>Recurring Expenditure:</b>	regular amount that is spent every year, on books, journals, staff salaries etc.
<b>Unit Cost:</b>	Cost of a single unit of operation viz., cost of cataloguing a single book.

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# UNIT-10 : LIBRARY STATISTICS

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## Contents

- 10.0 Aims and Objectives
- 10.1 Introduction
- 10.2 Library Statistics
- 10.3 Sources of Library Statistics
  - 10.3.1 Statistics of Processing Departments
  - 10.3.1 Statistics of Service Departments
  - 10.3.1 Miscellaneous Statistics
- 10.4 Purpose of Library Statistics
- 10.5 Methods of Presentation of Library Statistics
  - 10.5.1 Tabular form
  - 10.5.2 Graphical presentation
- 10.6 Summing Up
- 10.7 Model Answers to Self-Check Exercises
- 10.8 Assignment
- 10.9 References

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## 10.0 AIMS AND OBJECTIVES

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This unit deals with library statistics and aims to explain what is meant by statistics, sources of Library Statistics, processing and analysis, kinds of statistics maintained in different sections of the library, purpose and methods of presentation of collected statistics. The study of library activities through application of statistical methods will not only help to measure the performance of the library but also facilitate, taking necessary steps for the improvement of services.

After studying this unit, you should be in a position to

- explain what is meant by library statistics and the purpose, kinds, and sources of library statistics;
- describe the methods of presentation; and
- present library statistics in the tabular and graphical form.

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## 10.1 INTRODUCTION

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The word "Statistics" is derived from the Latin word "Status". Statistics (plural) refers to quantitative information (number of books added to a library each year, number of books received on Inter-Library Loan). Statistics (singular) refers to a method of dealing with quantitative information involving collection, analysis, presentation and interpretation of data. Statistics is a branch of mathematical science which appears to have originated in the 18th century.

Statistics are facts and figures which are presented in tabular or other forms. Facts and figures about any phenomena are called statistics. This discipline does the work of reducing the mass of information to a readable, intelligent and comparable form. Statistics are tabulated

figures employed by most modern scientists in order to assess the progress or regress in various fields of study. Statistics is regarded as one of the important tools for making decisions in the midst of uncertainty. Statistics help us in planning and controlling the activities in a library.

Statistics also help us in comparing a particular library with other libraries, and thus effect necessary improvements in library services. Further, the study of the library based on statistical methods helps the administrative or the governing body to measure the performance of library activities and to take proper decisions for improving them.

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## 10.2 LIBRARY STATISTICS

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The main sources of Library Statistics are the diaries maintained by different sections of the library. Daily/weekly/Monthly/Quarterly Statistical reports prepared by the different sections are considered useful sources of Statistics. For Statistical returns, routing forms should be designed very carefully and revised periodically in the light of experience.

Collection of data must be done with utmost care because it is the basis for statistical analysis. The data may be collected from primary or secondary sources either published or unpublished. Raw data collected on a regular basis, say weekly/monthly etc, from different sections of the library have to be organised. The first step in organising a group of data is editing. The collected data should be carefully edited and tabulated. After editing, the data should be classified so as to arrange them according to some characteristics possessed by the items constituting the data. From tables, inference can be drawn. Inference when related to one functioning satisfactorily, it reveals their drawbacks, and what economy measures may be applied without impairing efficiency. Data presented in an orderly manner facilitates statistical analysis.

Analysis of data is important to find out the relation between data. Methods used in analysing the presented data are numerous ranging from simple observation to complicated and highly numerical techniques.

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## 10.3 SOURCES OF LIBRARY STATISTICS

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The kinds of statistics to be maintained will vary from library to library. This will depend upon the use to be made of Statistics. On the basis of various practices followed by different libraries, Library Statistics can be divided into three categories.

- 1) Statistics of processing Departments.
- 2) Statistics of Service Departments.
- 3) Miscellaneous Statistics.

### 10.3.1 Statistics of Processing Departments

#### (A) Acquisition Section

The acquisition section maintains the records of all the books, periodicals and other reading materials acquired by the library by purchase, gift or on exchange basis. Weekly Statistics of the number of books passing through the acquisition section are required to find out the adequacy of the staff to control the volume of work and also introduce important changes in routine work. Acquisition performance will be a useful basis for evaluation of the achievement of the Acquisition department. Tauber enumerates the following measures used by R.W. Gilchrist to evaluate the acquisition work in libraries.

(i) Time lags:

- a) From receipt of indent to issue of order.
- b) From issue of order to receipt of book.
- c) From receipt of book to completion of acquisition process.

(ii) Discount received:

(iii) Bibliographical accuracy:

- a) Number of un-intentional duplicates received.
- b) Number of incorrect items received.
- c) Number of items rejected by dealers as not identifiable.
- d) Percentage of successful orders from booksellers/publishers catalogues.

(iv) Expenditure on books:

Acquisition statistics prepared subjectwise will be helpful to know the strength and weakness of the library collection. The forms used in acquisition work should be designed properly. A specimen form used for recording acquisition statistics is given below:

SPECIMEN ROUTINE FORM

Month .....

Year .....

Subjectwise according to Decimal Classification

Reading	000 to 099	100 to 199	200 to 299	300 to 399	400 to 499	500 to 599	600 to 699	700 to 799	800 to 899	900 to 999
1. By Purchase										
Books										
Periodicals										
Others										
Total										
2. By Exchange										
Books										
Periodicals										
Others										
Total										
3. By Gift										
Books										
Periodicals										
Others										
Total										
4. By Legal										
Deposit										
(Delivery of										
Books Act)										
Books										
Periodicals										
Others										
Total										
Grand Total										

### (B) Periodicals Section

In the periodicals section it is necessary to maintain Statistics to show how many periodicals are received daily /weekly, monthly etc., the number of periodicals for which reminders are sent about non-receipts, the number of periodicals sent to the bindery, the number of periodicals bound and accessioned etc, in a standard form. This will enable us to take necessary steps to overcome the hurdles if any by restoring to better techniques and providing more staff for proper functioning of the section. The proforma for the maintenance of statistics in the periodicals section is given below.

#### STATISTICS OF PERIODICALS

Month .....

Year .....

Frequency of Publication	Number of Periodicals received	Number of Periodicals registered	Number of Periodicals for which reminders sent	Remarks
Daily				
Weekly				
Fortnightly				
Monthly				
Bimonthly				
Quarterly				
Others				
Total				

### Technical Section

Generally this section does not deal directly with the reading public. Its work is properly described as work behind the scene. The staff employed in this section attend to the processing of books and other reading materials by using accepted techniques such as classification and cataloguing to facilitate their use by the public. In order to know whether the persons engaged in the technical section are fully employed, overworked or underworked, it is essential to have information about the work done on an average by every classifier and cataloguer. This will help to lay down a reasonable standard or stipulate an optimum amount of work to be done by classifiers and cataloguers individually in this section. The following are the specimens of Statistical tables of the Technical Section.

**PROFORMA STATISTICS OF CLASSIFICATION OF WORK**

Month .....

Year .....

Serial Number	Name of the incumbent and designation	Number of books Classified Days of the month											Re- marks	
		1	2	3	4	5	6	7	8	9	10	... to 31		
1.	Classifier													
2.	Classifier													
3.	Classifier													
4.	Classifier													
5.	Classifier													

**PROFORMA STATISTICS OF CATALOGUING OF WORK**

Month .....

Year .....

Serial Number	Name of the Employee with Designation	Number of books-catalogued Number of cards prepared Days of the month												Re- marks
		1	2	3	4	5	6	7	8	9	10	... to 31	Total	
1.	Cataloguer													
2.	Cataloguer													
3.	Cataloguer													
4.	Cataloguer													
5.	Cataloguer													

## 10.3.2 Statistics of Service Department

### (A) Circulation Section

This is one of the most important sections of a library having direct contact with the readers. To know the reader's tastes, likes, dislikes, their reactions to the various services offered in the library, it is necessary to maintain different types of statistics on the basis of transactions in the Circulation Section.

#### Daily Visitors Attendance Statistics:

It is necessary to maintain a visitor's register and keep the same at the entrance wicket gate in the library for recording the attendance of visitors. This will enable the librarian to prepare statistics of different types of visitors by Age, Sex, Occupation etc. The proforma of the visitor's register maintained normally in loose leaf form in the libraries is given below.

#### VISITOR'S ATTENDANCE REGISTER

(To be maintained in a public library)

Name of the Library

Month .....

Year .....

Serial Number	Name of the Visitor (in Block letters)	Age	Sex	Occupation	Purpose of Visit	Signature	Remarks

#### VISITOR'S ATTENDANCE REGISTER

(In Academic Libraries)

Serial Number	Name of the Visitor (in Block letters)	Class/ Designation	Department	Signature	Remarks

## Statistics of Library Members

The Circulation Section should keep a complete and upto date record of the members in the library. The Statistics of library members will enable the librarian to furnish the number of members admitted, the number of members withdrawn from the library during the course of the year and ultimately the total number of members on the rolls of the library at the end of an year. Further, the maintenance of statistics of library membership in academic libraries, especially University Libraries, will give an idea of the different categories of members (Students, Research Scholars, Teaching and Non-Teaching Staff members, Deposit borrowers etc) and the number of members category wise during a particular period. The specimen form for the maintenance of library membership statistics is given below.

### MEMBERSHIP STATISTICS

Date	Category	Number of members as per rolls	Number of new members enrolled	Number of members withdrawn	Total number of members	Remarks

### Issue statistics:

The Circulation Section needs to maintain other kinds of Statistics viz Issue statistics (a) Language wise (b) Subject-wise and (c) Reader-wise on the basis of books lent by the Circulation Section for outside use everyday. This will help to know which category of readers are the largest percentage of library users, and which language books are borrowed by the majority of the library members etc. The following table deals with the Issue statistics, Language wise.

### (a) ISSUE STATISTICS, LANGUAGE-WISE

Date	Language	Number of books issued
	English ...	
	Hindi ...	
	Tamil ...	
	Telugu ...	
	Sanskrit ...	
	Others ...	
	Total ...	

ISSUE STATISTICS, SUBJECT-WISE (according to Decimal Classification)

Date	000	200	300	400	500	600	700	800	900	Loose issue of Periodicals	Total Periodicals

In the case of the Public Library, the table shown below is used for maintaining reader wise issue statistics.

ISSUE STATISTICS, READERWISE

Date	Nature of Readers	Number of books issued
	Adults ...	
	Male ...	
	Female ...	
	Children ...	
	Blind ...	
	Sick ...	
	Others ...	
	Total- ...	

In respect of Academic Libraries i.e. University, College and School Libraries, the statistics should be maintained on the following pattern:

## ISSUE STATISTICS BY CATEGORY OF MEMBERS

Date	Category of Members	Number of books issued
	Higher Secondary ...	
	Graduate ...	
	Postgraduate ...	
	Research Scholars ...	
	Teachers ...	
	Non - Teachers ...	
	Others ...	
	Total ...	

### Inter-Library Loan Statistics:

In the case of a library participating in library cooperation or resource sharing programme, it is necessary to maintain statistics of the number of books got on inter-library loan from other libraries and the expenditure incurred there on and also the number of books sent to other libraries etc.

### (B) Reference Section

The next important section is the Reference Section. It is very difficult to maintain statistics of the Reference Section in a library following the open access system. In the case of libraries adopting closed access, we can prepare statistics on the basis of the request slips given by readers. However statistics relating to the reference service rendered can be maintained in the proforma given below.

### REFERENCE SERVICE STATISTICS

Date .....	Month .....	Year .....		
Number of Readers Directed	Number of Enquiries Answered		Number of Enquiries un-answered	Total
	Short Range	Long Range		

**(C) Indexing, Abstracting and Documentation Services:**

Proper statistics must be obtained to know the progress or regress of these services and their impact on the readers. Indexing is a technique which is an essential tool for research purpose. The periodicals received in the library must be scanned and an index be prepared for the use of researchers. Important articles published in learned periodicals must be abstracted and made available to the research scholars. The following table reveals the number of periodicals indexed, abstracted and documented. This should be prepared every week.

Date ..... Month ..... Year .....

Subject	Number of Periodicals indexed	Number of articles abstracted	Number of articles reproduced
000 .....			
100 .....			
200 .....			
300 .....			
400 .....			
500 .....			
600 .....			
700 .....			
800 .....			
900 .....			
Total .....			

**10.3.3 Miscellaneous Statistics**

The library must know the number of its clientele or the total number of people served. These figures can be obtained from the latest Census report. The figures giving the book fund, periodicals fund etc. and total expenditure should be maintained properly to assess accurately the service rendered by the library.

## STATISTICS OF INCOME AND EXPENDITURE

Item	Book Fund	Periodicals Fund	Staff Fund	Others	Total
Income					
Expenditure					

### STAFF STATISTICS

Month .....

Year .....

Name of the Post	Number of Posts filled	Number of Posts lying Vaccant	Amount spent on Salaries	Amount saved on Staff Salaries

These statistics of the various sections/departments yield important information regarding the per capita amount spent on providing library services in an area.

#### Self-Check Exercise-1

What are the various sources of collecting library statistics?

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

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

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## 10.4 PURPOSE OF LIBRARY STATISTICS

Statistics are helpful for the measurement, evaluation and control of current output of work and services. Statistics play an important part in helping the administrator or governing body to measure the success of the library. To reduce the mass of information to a comparable form and to ensure objectivity we need the help of Statistics. Statistics is meant to bring out facts in an objective and unbiased manner. The ultimate aim of statistical returns is the control of current services and their evaluation. Statistics help us in assessing the progress of the library at a given time through a comparison of the figures of the past services with that of the present. A comparison of the figures of a library with those of other libraries of the region help us to know if a particular library is run on more efficient lines than others.

Statistics serves the following purposes in libraries:

- (1) For compilation of an annual report.
- (2) For assessing the progress of a library through comparison of Statistics of the past few years.
- (3) For measuring the efficiency of different sections or individuals in the library.
- (4) For planning a library and its services. On the basis of Statistics a new service can be planned or an existing service can be improved.
- (5) Statistics will be helpful to assess the extent of demand for a particular service/services in a library.
- (6) Statistics will be helpful to justify the librarian's demand for more funds and additional staff.
- (7) To enlighten the users and the authorities about the achievements of the library.

On the other hand, statistics can also be misused. But misuse of statistics has to be avoided as far as possible.

### Limitations:

Statistics have certain limitations.

- (1) Statistics are quantitative in nature. As such it will not disclose the quality of work turned out by different staff members in different sections.
- (2) Statistics do not give the complete picture of a library.

### Self-Check Exercise-2

What is the purpose of library statistics ?

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

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

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## 10.5 METHODS OF PRESENTATION

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Statistics can be presented in a variety of forms such as tables, graphs, diagrams etc. The forms to be used must be simple, clear and attractive.

### 10.5.1 Tabular form

A table is the systematic organisation of statistical data in columns and rows. Rows are horizontal arrangements and columns are vertical arrangements. The table usually simplifies the presentation and facilitates comparison of two or more data sets. A table consists of the following parts (1) Title (2) Sub-title, if any (3) Stub (4) Caption (or head) (5) Body of data. The other parts present in a table are head note, foot note and source notes apart from the above mentioned parts. A title at the top of the table usually answers the question like what, where and when. Some times it even answers how the data are classified. The stub consists of a stub head and the stub entries. The caption labels the data found in the column of the table. The body contains the data. A head note is a statement (below the title) which clarifies the contents of the table. A source note is used to state clearly the source of the data if it was collected by some one.

Table number: Title of the Table (Head Note)		
	Caption	
Stub head	Column head	Column head
Stub entries	Body	

Tables reveal patterns within the figures which can not be seen when information is presented in narrative form. It also facilitates the summarization of figures. Tables are by nature two dimensional, for instance, if the users of an academic library have to be classified by sex and age, the table may be constructed as follows;

Table 1.1: DIFFERENT AGE GROUP OF STUDENTS, SEX WISE,  
USING THE COLLEGE LIBRARY Two Factor Table

	Age group of students					
Sex of Students	15	17	19	21	23	25
Male						
Female						

The following is the model of a three factor table:

Table 1.2: DIFFERENT AGE GROUP OF STUDENTS, USING THE COLLEGE  
LIBRARY, FACULTY WISE AND SEX WISE

Faculty & Sex of Students	Age group of students					
	15	17	19	21	23	25
ARTS						
Male						
Female						
SCIENCE						
Male						
Female						
COMMERCE						
Male						
Female						

Like-wise any number of variables may be adopted to represent the facts or data in a table.

### 10.5.2 Graphical presentation

The objective of presenting data in graphical form is to summarise clearly the facts and inferences drawn from the data. The graphical form is used for presentation of data for easy understanding and interpretation. Graphical form can be used as means of identifying changes in library services. The graphical presentation of data can also be used to evaluate services and functions of libraries by comparing the individual operations over defined periods. There are several varieties of graphical presentation such as pie chart, bar chart, etc. The important function of diagrams and graphical forms is both to attract the attention and arouse the interest of readers, as well as to give precise information. It is hardly possible to construct a graph without constructing a table.

#### (i) Pie Chart:

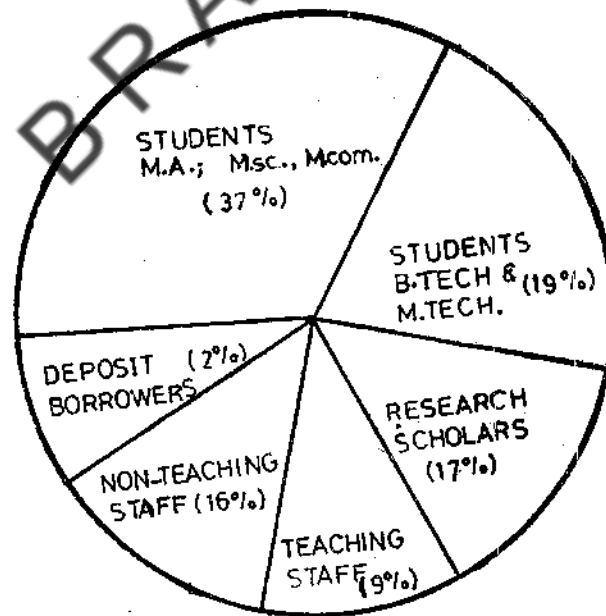
A Pie Chart is one of the most common diagrams used for the presentation of a set of data. It essentially partitions a population or a set of data. Each partition of the data is represented as a portion of a Pie. Pie Charts are used for displaying the comparisons of percentages rather

than the number of measures in each category or group. Each pie in the chart is displayed either in ascending or descending order of size. It is helpful and most convenient if one tries to summarise the data into a minimum number of categories since too many categories make the pie chart difficult to interpret.

Figure 2.1 is an example of a Pie Chart for the data shown in Table 1.3.

Table 1.3 CATEGORYWISE DISTRIBUTION OF MEMBERS OF UNIVERSITY LIBRARY DURING THE ACADEMIC YEAR .....

Categories	Number of Members		
	Members	Percentage	Degrees
1. Students			
(a) M.A, M.Com etc.	1527	37	•133
(b) B.Tech. & M.Tech	800	19	69
2. Research Scholars (Ph.D. & M.Phil)	712	17	61
3. Teaching Staff	366	9	32
4. Non-Teaching Staff	690	16	58
5. Deposit Borrowers	85	2	7
Total	4180	100	360



Scale  $3.6^\circ = 1\%$  of the members

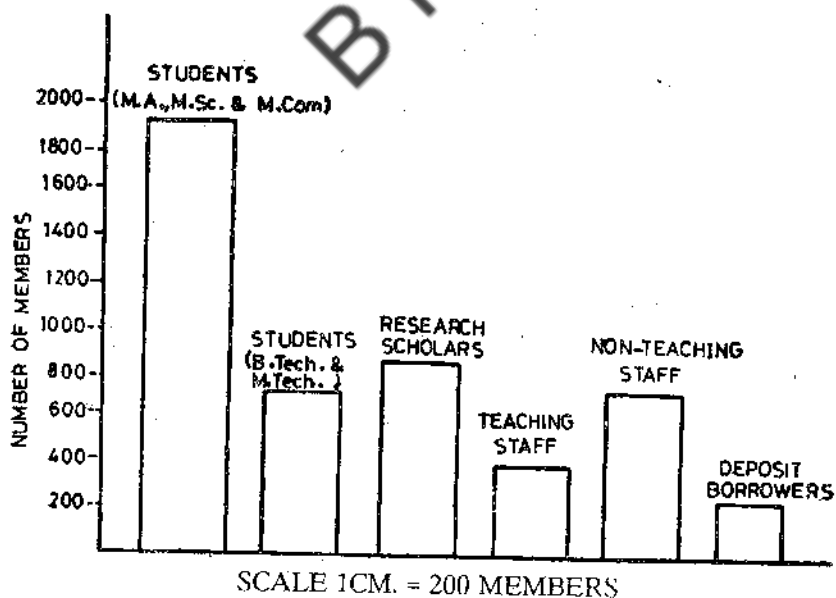
Figures 2.1 A Pie Chart: Category wise distribution of Library members.

ii) Bar Chart

A bar chart is a graph that consists of a number of bars of equal width arranged vertically or horizontally. The length of each bar varies with the magnitude of data collected over a period of time or space. Figures 2.2 and 2.3 are examples of bar charts (for the data shown in tables 1.4 and 1.5). Single bar chart consists of a number of single bars each representing some variable. One can use a group of double bars to compare the magnitude of one variable with another. Figure 2.4 is an example of double bar based on the data given in Table 1.6 The double bar usually has no gap between the two bars; but between each group of bars, there should be a gap.

Table: 1.4  
NUMBER OF MEMBERS ON ROLLS, CATEGORY WISE IN ... UNIVERSITY  
LIBRARY DURING THE YEAR 1982-83

Serial Number	Category	Number of Members
1. (a)	Students (M.A., M.Sc., M.Com)	1859
(b)	Students (B.Tech. & M.Tech.)	732
2.	Research Scholars	811
3.	Teaching Staff	369
4.	Non-Teaching Staff	727
5.	Deposit borrowers	111



Scale 1Cm = 200 members.

Table: 1.5  
 NUMBER OF MEMBERS ENROLLED IN ... UNIVERSITY  
 LIBRARY DURING THE YEARS 1977-78 TO 1982-83

Serial Number	Year	Number of Members
1.	1977-78	3669
2.	1978-79	3606
3.	1979-80	4049
4.	1980-81	4209
5.	1981-82	4160
6.	1982-83	4609

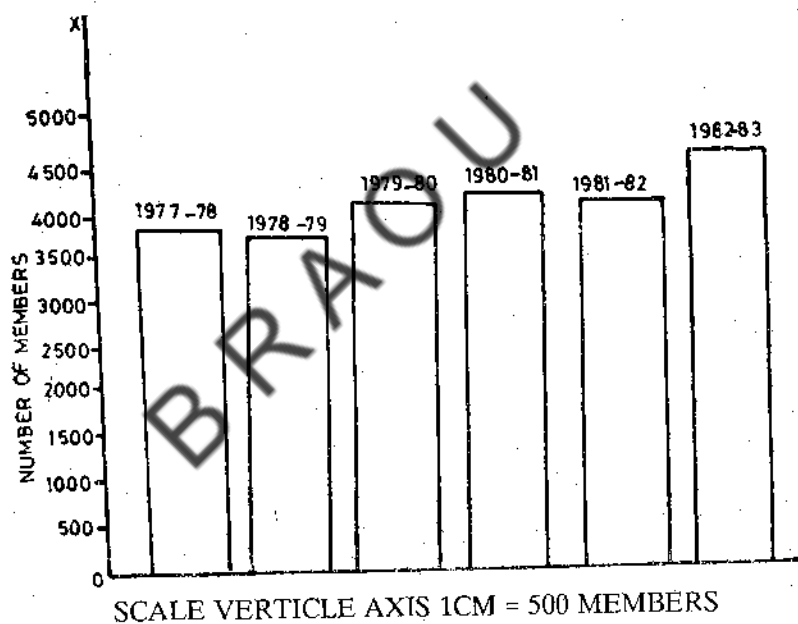


Figure Bar Chart-Number of members enrolled in University Library during the years 1978-79 to 1982-83.

**Component Bar Chart:**

To compare over a period of time the changes that have taken place in the parts of a total, the data can be presented in component-part bars. For proper display different colours or shades can be used for the components in the bar for differentiation.

Table 1.6:

**NUMBER OF MEMBERS ENROLLED IN ... UNIVERSITY LIBRARY  
CATEGORY WISE DURING THE YEAR 1977-78 TO 1982-83**

Category of members	1977-78	1978-79	1979-80	1980-81	1981-82	1982-83
1. Students (M.A., M.Com., M.Sc.)	1545	1498	1500	1563	1527	1859
2. Students (B.Tech & M.Tech)	632	700	908	845	800	732
3. Research Scholars	517	385	55	638	712	811
4. Teaching Staff	296	312	354	386	366	369
5. Non-Teaching Staff	604	641	668	683	690	727
6. Deposit borrowers	75	70	68	94	85	111
<b>Total</b>	<b>3669</b>	<b>3606</b>	<b>4049</b>	<b>4202</b>	<b>4160</b>	<b>4609</b>

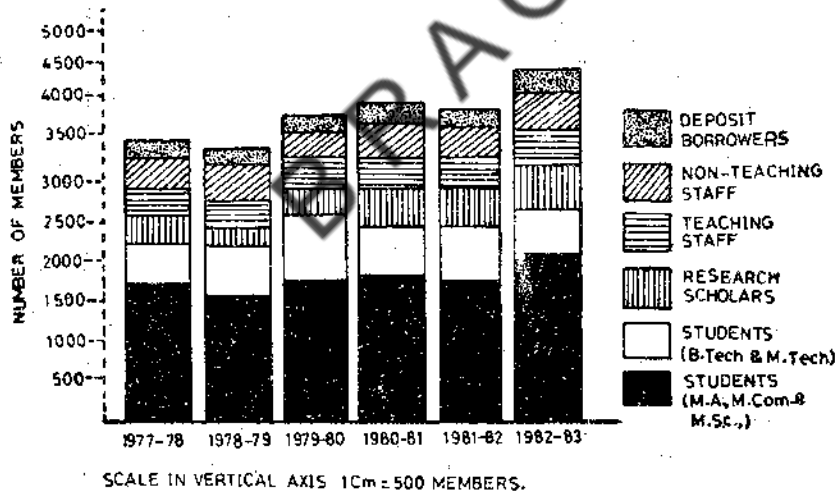


Figure 2.4 A Component-bar Chart - Distribution of different Categories of members enrolled in ... University Library during the year 1977-78 to 1982-83.

Thus the most symbolic and appealing method of presentation of statistics should be used to make the library users benefit from the performance of the library either during a given period of different periods.

### Self-Check Exercise-3

List various methods of presenting the library statistics ?

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

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## 10.6 SUMMING UP

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Statistics serve a useful purpose. Statistics are useful in planning a library and its services. Statistics are numerical statements of facts. The qualitative aspects like intelligence, reading tastes cannot be directly studied. In the absence of other reliable methods best use of Statistics should be made with proper precautions. Statistics are true only on an average. The conclusions obtained statistically are not universally true. Statistics provide a chance to minimise the collected data. If statistical conclusions are based on incomplete information, it will lead to fallacious conclusions. It is possible that statistical data can be manipulated in such a way so as to establish the foregone conclusions. Hence statistical data should always be considered in the light of background information to avoid wrong conclusions.

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## 10.7 MODEL ANSWERS OF SELF-CHECK EXERCISES

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- 1) The library statistics are collected from the following departments of a library:
  - i) Processing department (Acquisition, Technical and Periodicals Sections)
  - ii) Service department (Circulation, Reference and Documentation Sections)
- 2) The library statistics are helpful for the measurement, evaluation and control of library work and services. Statistics help in assessing the progress of the library at a given time through a comparison of figures of the past services with that of the present. On the basis of statistics, existing services can be improved and new services can be planned.
- 3) The library statistics can be presented in
  - i) Tabular form, and
  - ii) Graphical form (Pie chart, Bar chart, Component Bar chart, etc)

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## 10.8 ASSIGNMENT

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- (1) State the need for maintenance of Library Statistics in a library and their usefulness.
- (2) Explain the purpose of Library Statistics and various methods of presentation of Library Statistics.

## 10.9 REFERENCES

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- (1) Krishan Kumar                      **Library manual**, p.219-22
- (2) Mittal, R.L                         **Library Administration**, p.653-73
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BRAOU

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## **UNIT-11 : PREPARATION OF ANNUAL REPORT**

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### **Contents**

- 11.0 Aims and Objectives
- 11.1 Introduction
- 11.2 Need and Purpose of Annual Report
  - 11.2.1 Need For Annual Report
  - 11.2.2 Purpose of Annual Report
- 11.3 Annual Report - Features, Form and Content
  - 11.3.1 Features
  - 11.3.2 Form
  - 11.3.3 Content
- 11.4 Compilation of an Annual Report
- 11.5 Draft Annual Report
- 11.6 Summing Up
- 11.7 Model Answers to Self-Check Exercises
- 11.8 Assignment
- 11.9 References

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### **11.0 AIMS AND OBJECTIVES**

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This unit aims to explain the meaning, need and purpose and features of library Annual Report. In addition it also aims to provide a draft annual report.

After studying this unit you should be able to

- explain the meaning, need and purpose of the annual report.
- describe the features and form of annual report
- list the contents that go into the annual report
- draft an annual report for your library.

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### **11.1 INTRODUCTION**

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An Annual Report is a public document which accounts for the work done in the library during the past twelve months. The Annual Report summarises the activities and achievements of the various departments of the library. It is a record which a responsible administrator submits to his superior officer.

It differs from the Budget as the latter is an estimate for the coming year while the former is the medium through which we can know the performance of the various departments in the previous year. Report covers the period from 1st July to 30th June of the succeeding year.

## **11.2 NEED AND PURPOSE OF ANNUAL REPORT**

### **11.2.1 Need for Annual Report**

As in other organisations, a librarian is expected to keep his superiors informed about the achievements, shortcomings and problems of the library with suggestions for improvement. This is done by reporting. Through Annual Report based on data collected from the different sections of the library, the librarian is able to reveal the condition of the library. The information contained in these reports provides evidence for determining the efficiency of the library. Thus Annual Report is an account of the activities of the library for justification of the expenditure incurred over its maintenance.

In the case of a University library, the librarian makes use of the Annual Report as a means of reporting of the activities and services of his library to the University authorities to justify the amount spent on his library. Similarly, a librarian of a public library is answerable to the public who financed the library through the payment of library cess. A librarian of the special library is also expected to justify to its parent organisation the financial assistance received over the maintenance of his library. Hence an annual report is necessary for reporting the activities as of a library to the superiors to justify the financial support received for its maintenance.

### **11.2.2 Purpose of Annual Report**

An official stock-taking device, the annual report is a record which the responsible administrator submits to his authorities. The Annual Report serves the following purposes.

- 1) Library is a social institution meant for public service. It is financially supported by public funds and therefore an Annual Report will be helpful for reporting the performance of the library to justify the expenditure involved in running the library.
- 2) It keeps the authorities of the library fully aware of the services and sources in book and non-book materials, finance, manpower etc. and of the working of the different departments.
- 3) The Annual Report is also being used as a part of publicity media in order to attract the large number of readers to the library. It is used as a tool to give publicity for the services provided by the library.
- 4) It enables the librarian to assess the performance of the library and to estimate the future financial requirements.
- 5) It serves as an important instrument in library's public relations in educating the non-users about the services offered by the library for the intellectual advancement of the community.
- 6) By a comparative study of Annual Reports of previous years, the librarian can know the achievements and shortcomings of the services of the library together with the reasons there of which will enable him to rectify the defects as far as possible.
- 7) An Annual Report which contains an account of the annual financial condition of the library in relation to the services and need for their improvement will help the librarian to assess the actual needs and also to find out ways and means to procure more funds.
- 8) By a study of the staff position in relation to the services presently rendered and to be rendered according to national standards of efficiency, the librarian can ask for more staff or the retrenchment of the staff as may be the case. The library statistics of various departments

will be helpful in this respect.

9) Annual Report serves as effective method of educating the faculty, the citizens, patrons and the authorities as to the work and needs of the library. In other words, the Annual Report, as an official document is used as an instrument of telling people just what the library has done is doing and plans to do.

10) A well prepared and published Report intelligently distributed to an important group of individuals will enlist support for library development and encourage gifts.

### Self-Check Exercise-1

What is the purpose of an annual report in libraries ?

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

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

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## 11.3 ANNUAL REPORT - FEATURES, FORM AND CONTENTS

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### 11.3.1 Features of Annual Report

The Annual Report being a public document, should be written in an interesting form. The figures should be minimised and it is desirable to present them in tabular form. The Annual Report should be brief, clear and presented in the language easily understandable to the users.

### 11.3.2 Form of the report

The Annual Report prepared on the basis of data collected from different sections of the library must be readable, clear in thinking and easy to understand. The Report may be either presented in tables, graphs or narrative fashion with certain catch-words to attract the attention of the readers. The presentation of the Report should be very pleasing. It should be printed on good quality paper with well designed covers and circulated on a wide scale for maximum publicity. In view of the high cost of printing and postage, libraries are bringing out abridged versions of the Annual Report for circulation to other institutions to convey information. Circulation to other institutions associated with it is a kind of extension service. In India, the Annual Report of the library is incorporated in the Annual Report of the parent institutions.

### 11.3.3 Content of the Report

The Annual Report should have an introduction giving information about the name of the library, type (nature) of the library, date of establishment, working hours, the holidays observed by the library, summary of important achievements of the preceding year and future plans of development. The majority of libraries publish their Annual Reports in two parts: 1) Report on the work of the library relatively informal and designed to be read through. 2) A statistical summary in a prescribed standardised form containing details mostly in the form of tables and graphs pertaining to books and non-book materials, services, clientele, staff, finance etc.

The second important feature of a Report is its contents. A report can be divided into the following main head: 1) Clientele, 2) Book Stock, 3) Technical services, 4) Public Services, 5) Finance and 6) Miscellaneous.

#### i) Clientele:

The information on Clientele is the basic issue of the popularity of the library. The number of registered readers is to be clearly furnished along with statistics showing percentage of readers when compared to population. The comparison of the actual and potential readership will reveal the extent of usefulness of the library. The number of members along with different categories (Adult, children, blind etc in the case of Public library; Teacher, Non-Teacher, Research scholar, student etc. in the case of University library at the beginning and at the end of the year should be furnished. Further the rise or fall in the membership should be indicated with reasons therefor. Thus the Circulation Statistics will enable the librarian to judge the usefulness of the library and to take necessary steps to provide reading materials suitable to their tastes.

#### ii) Book Stock (library Collection):

Books and Non-book materials like microfilms, gramophone records etc, in the possession of the library is the second important factor without which the library can not exist. To attract more persons to become regular members of the library, the report has to enlighten the users about the nature of book collection. This will help to assess the library's resources and judge the capacity to serve the diverse needs of the community of readers. The report should contain subject-wise break-up of the number of books at the beginning and at the end of year and additions during the year. The report should also contain the number of current periodicals subscribed to and also the details of non-books materials acquired.

#### iii) Technical Services:

Technical services include accessioning, classification, cataloguing and documentation. These services are provided by qualified professional staff. These services are the back bone of library. These services bring a helpful order amongst all spheres of library activities to promote the use of books by the large number of readers. The annual report must depict the impact of these technical services on the library service as a whole. The Report must show whether the staff provided in the technical section is adequate and fully qualified in accordance with the accepted norms. The Report should contain the number of books classified and catalogued and also different types of technical services provided by the library.

#### iy) Public Services:

The public services are those which are rendered by the staff members to the readers directly. These services relate to the provision of lending of books for outside use, arrangements made for home delivery of books through post and mobile library service (library on wheels) and helping readers through Reference service and Reader's Advisory service. An annual report should sincerely evaluate these services and report the shortcomings in the operation of these services. The practical suggestions should be given to rectify the defects.

Reader's Advisory service including Reference service is the most suitable agency to interpret the reading materials of the library. The efficiency of a library depends upon the service rendered by this wing of the library to the users.

Due to publication explosion, a library must try to adopt the latest techniques such as Indexing, Abstracting and Documentation to meet the actual needs of the users if necessary. These facts must be brought forth in the Annual Report to convince the authorities to finance for the adoption of latest techniques. The Report should contain a statistical statement dealing with the number of books, lent, consulted and books got on inter-library loan. Reference enquiries answered and unanswered, the types of services rendered to the blind and handicapped which will enable the librarian to take necessary steps for the improvement of the services of the library.

#### v) Finance

The efficient functions of the library and the operation of different services depend upon the financial condition of the library. The Fifth Law of library Science states that "library is a growing organism". It indicates the continuous growth in library collection with additions every year necessitating the proportionate increase in library staff. To keep pace with the ever increasing demands of library clientele it is essential to assess the financial needs periodically and to provide adequate finance to meet the anticipated expenditure. The annual Report must indicate the actual financial condition of the library to enable the librarian to request for allocation of more money in the next budget if the present budget allocation is not sufficient. Sources of income from library cess, library fees, fines, grants from the Management, State Government; University Grants Commission, and donations have to be mentioned in the Annual Report.

Similarly the expenditure on the items viz.

(1) Books and Non-Book Materials. (2) Salaries of Staff. (3) Library fittings and furniture. (4) Book Binding (5) Printing Stationery and contingences (6) Maintenance of Buildings etc. have to be furnished in the Annual Report. The Annual Report has to suggest ways and means to exploit source for additional income. The library must be administered on economic lines. To ascertain the total expenditure on various services a system of cost accounting be followed to know the cost of purchase of books, cost involved over salaries of staff etc. A statement showing the cost of various items must be given in order to fix an average percentage of expenditure to be spent on books periodicals binding repairs etc.

**Staff:**

The Annual Report should show the number of staff members, cadrewise. Any change in library Staff should be indicated. The Staff formula should be kept in mind while reviewing the staff position. The qualified staff must be provided for efficient service in accordance with the staff formula of Dr. S.R. Ranganathan. Promotions of staff and their participation in conferences, national and international, should be mentioned in the Annual Report.

**Miscellaneous:**

The Annual Report should include other matters such as binding equipment, Stock verification etc. The activities like extension lectures, film shows, mobile library service etc. must be given due publicity. The services rendered by the library through inter-library co-operation must be made known to the readers and the authorities. In short the Annual Report should bring out clearly the achievements and short-comings of a library. The Report must be symbolic in suggesting certain remedies.

**Self-Check Exercise-2**

List the contents that go into the library annual report.

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

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**11.4 COMPILATION OF AN ANNUAL REPORT**

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The period of the Report may either be the Calendar year or the Financial year of the period covering 1st July to 30th June of the following year as may be the practice with the parent body.

The following procedure is followed to bring out the Annual Report in time. The librarian should carefully decide the kind of Annual Report that should be compiled so that the statistics required for the purpose can be maintained in a proper form. This should be decided before the beginning of the period of Annual Report. The proforma to collect data for the preparation of Annual Report should be circulated during the end of the month of the Report. Each section should be given two copies of the proforma. On the basis of the returns from different sections and last year's Annual Report, a Draft Report should be prepared. A senior member of the staff will be entrusted with the responsibility of collecting data and preparing the draft. The

report besides containing the factual data in tabular form about services performed by each section of the library should also provide a summary of the salient features of the year's work and indicate the outstanding developments planned for the ensuing year. The draft Annual Report is presented to the librarian for his approval. The changes suggested by the librarian will be incorporated in the Report. Finally several copies of the Report will be printed for wide circulation. The Report should be readable, clear in thinking and easy to understand. In the light of the comments by the library authorities action should be taken to improve library services.

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## 11.5 DRAFT ANNUAL REPORT

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### DRAFT ANNUAL REPORT

For the year .....

#### A. General

1. Name of library .....
2. Nature of the library .....
3. Date of establishment .....
4. Area/population served ..... Rural/Urban.
5. Working hours .....
6. Number of days closed in the year .....

#### B. Clientele

1. Total Number of Members .....
2. Male .....
3. Female .....
4. Children .....
5. Total number of active members .....
6. Number of new members enrolled during the period .....
7. Number of members withdrawn during the period .....
8. Condition of membership .....
9. Ratio of members to the total population .....

#### C. Book Stock

1. Total number of volumes at the beginning of the year.
2. Number of volumes added during the year.

3. Number of volumes withdrawn during the year.
4. Total number of volumes at the close of the year.
5. Total number of current periodicals subscribed.
6. Total number of volumes in Stock per head of population.

**D. Technical Services**

1. Whether the book stock is Classified or not .....
2. Classification scheme in use ..... Dewey/ Colom/ Others.
3. Catalogue code in use ..... Dictionary/ Classified/ Others
4. Physical form of the Catalogue (a) Card/Book/Shelf. (b) Manuscript/Typed/Printed.
5. Number of books Classified and Catalogued during the period.

**E. Staff**

1. Total number of employees .....
2. Professional
3. Semi-professional
4. Others

**F. (I) Public Services**

1. Issue system in vogue ..... Newark/ Browne/ Others
2. Total number of books issued and returned during the year.
3. Average number of books issued during the year.
4. Number of books issued Subject wise .....
5. Total number of users of Library during the year.
6. Average number of readers using library daily.

**(II) Reference Section**

1. Total number of Reference Volumes in Stock .....  
General ..... Subject .....
2. Number of books consulted daily .....
3. Number of enquiries received daily .....
4. Total number of readers who used the Reference section during the period.

5. Type of enquiries received for answering.

- (a) Fact finding
- (b) Directory
- (c) Dictionary
- (d) Research Type

**(III) Indexing, Abstracting and Documentation**

- 1. Number of indexes made .....
- 2. Number of indexes used .....
- 3. Number of periodical articles abstracted .....
- 4. Number of periodical articles documented .....

**(IV) Mobile library Service**

- 1. Number of Villages/Deposit centers/Stations visited.
- 2. Number of average working hours pre week .....
- 3. Number of books issued and returned during the period .....

**G. Finance**

**a. Income (Receipts)**

- 1. Library Cess .....
- 2. State Government/U.G.C. Grants .....
- 3. Endowments .....
- 4. Library fees, Fines .....
- 5. Others .....

**b. Expenditure (charges) Recurring**

- 1. Books and back volumes of periodicals .....
- 2. Current periodicals .....
- 3. Staff Salaries .....
- 4. Binding .....
- 5. Printing and Stationery .....
- 6. Equipment and Furnitures .....
- 7. Contingencies .....
- 8. Other Services (Reprographic mobile services etc) .....

### Non-Recurring

1. Construction of library building/Extension wing .....
2. Building Repairs .....
3. Total (1+2) .....

### H. Cost-Accounting

1. Cost of service per book
2. Cost of service per reader.
3. Budget provision per reader

### I. Miscellaneous

1. General condition of the library
2. New services rendered
3. Extra-mural activities
4. Inter-library cooperation
5. Publications, if any
6. Any other suggestions

Date .....

Signature of the librarian

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## 11.6 SUMMING UP

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An Annual Report is a type of reporting by the librarian to the higher authorities. This serves a useful purpose. A report prepared on the basis of statistical data should be objective. It should mention the shortcomings in the library and the steps necessary for streamlining the administration and improving the library service. Such a Report will also help in evaluating and judging the progress of the library and in preparing the budget estimates for the next financial year.

The Draft Annual Report furnished Section 11.5 may be adopted by libraries with certain modifications, if necessary.

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## 11.7 MODEL ANSWERS TO SELF-CHECK EXERCISES

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1) The purpose of preparing the annual report in a library is to inform the administrators of the library as well as the public about the achievements, shortcomings and problems of the library. The annual report gives an account of the activities of the library and justifies the expenditure it incurs.

2) The contents of an annual report include: i) clientele, ii) library collection, iii) technical services, iv) public services, v) finance, vi) staff and other matters, such as prominent visitors to the library and extension activities of the library.

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## 11.8 ASSIGNMENT

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- 1) What is an Annual Report ? Explain its usefulness.
  - 2) What are the Contents of the Annual Report? Explain.
- 

## 11.9 REFERENCES

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- 4) Mookerjee, S.K : Library organisation and Library Administration. pp.452-55.
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## **BLOCK - IV : COLLECTION DEVELOPMENT**

The block introduces you to the methods of developing a balanced library collection. There are six units (Unit nos. 12 to 17) in this block.

The first unit of this block deals with Book selection principles, theories and procedures. It discusses various issues and factors in book selection policy for every library. The book selection principles/ theories propounded by Drury, Dewey and McCoolvin and the implications of Ranganathan's five laws in book selection have been explained.

The unit on 'Book selection tools' provides various sources available for selecting books and non-book materials in different types of libraries.

The third unit deals with library acquisition policies and procedures. It stresses the need for following the criteria such as permanent or temporary value, accurate information, authoritativeness, clear presentation and readability and social significance before acquiring the documents.

The fourth unit 'Book publishing and book trade with special reference to India' focusses on publishing and distribution of books in India.

Physical and technical processing of books in libraries has been explained in Unit-16. The processes carried in acquisition, selection, ordering, accessioning, checking and passing of bills, preparation of book for use, etc have also been dealt.

The last unit of this block deals with Serials control and management. Selection and subscription of periodicals, especially the problems involved in subscribing to foreign journals have been explained.

BRAOU

# UNIT-12: BOOK SELECTION PRINCIPLES -THEORIES AND PROCEDURES

## Contents

- 12.0 Aims and Objectives
- 12.1 Introduction
- 12.2 Book Selection - Need and Purpose
- 12.3 Book Selection Policy
  - 12.3.1 Basic Issues
  - 12.3.2 Factors governing Book Selection Policy
- 12.4 Principles of Book Selection - General
  - 12.4.1 Library Users
  - 12.4.2 Completeness, Proportion and Balance
  - 12.4.3 Demand
  - 12.4.4 Groups and Special individuals
  - 12.4.5 Standards of selection
  - 12.4.6 Controversial Issues
  - 12.4.7 Non-book Materials
  - 12.4.8 Relationship with other libraries
- 12.5 Principles propounded by Library Scientists
  - 12.5.1 Drury's Principles
  - 12.5.2 Dewey's Principles
  - 12.5.3 McColvin's Principles
  - 12.5.4 Ranganathan's Principles
- 12.6 User's Studies
- 12.7 Application of Principles to Different Libraries
  - 12.7.1 Public Library
  - 12.7.2 Academic Library
  - 12.7.3 Special Library
  - 12.7.4 Children's Library
  - 12.7.5 Hospital Library
- 12.8 Book Selection procedures
- 12.9 Summing Up
- 12.10 Model Answers to Self-Check Exercises
- 12.11 Assignment
- 12.12 Recommended Books

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## 12.0 AIMS AND OBJECTIVES

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This Unit aims to introduce you various principles of book selection, and the factors that influence the book selection policy in different types of libraries.

After studying this unit, you should be in position to

- explain the need and purpose of book selection.
- discuss the factors and issues involved in framing book selection policy of a library;
- describe the principles of book selection in general as well as those propounded by library scientists;
- apply book selection principles in different types of libraries.

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## 12.1 INTRODUCTION

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Book selection means choosing books for a library. It is the process of choosing books and other reading materials for a library according to established principles.

A library's collection consists of various types of documents. These documents may be categorised according to their physical form or thought content. Book and non-book materials, (like microforms, audio-visuals, reports, patents, standards, trade literature, photographs, maps, and atlases form a worthwhile collection and librarians ought to know about their characteristics and use in libraries before selecting them. The need for primary, secondary and tertiary literature depends on the type of the library and selection of these sources involves careful scrutiny.

Book selection is the choice of library materials to cater to the needs, requirements and demands of the clientele of the library. Book selection is an important activity to meet the information needs of a large number of library users. Book selection requires critical judgement and skill. Book selection is an active, complex and intellectual activity involving a wide spectrum of principles and tools. Book selection is regarded as a fundamental function of the library as the library is judged by the quality and suitability of its collection. Book selection is a deliberate effort to restrict indiscriminate acquisition. The best book selection would ideally bring to the library the largest number and variety of materials useful to the clientele. Thus book selection is the choice of materials to be added to the stock of the library.

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## 12.2 BOOK SELECTION - NEED AND PURPOSE

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Thousands of books are published every day. But not all books are useful and upto the standard. No library has the funds to acquire, the personnel to process and space to shelve everything that appears in print or non-print. It is essential for the libraries to select the most useful, suitable and standard books. Hence the selection and choice of library materials becomes necessary principally for two reasons, viz., **Financial** and **Spatial** (relating to space). The selection of library materials is of primary importance to the library because the quality and suitability of library collection ensures the maximum use of books. According to K.W. Drury the tasks of book selection are "to choose and furnish the books which satisfy the demand made upon the institution".

The primary function of the librarian is to start, build up, develop and organise a collection of library materials to achieve the objectives of the library concerned and to meet the needs and demands of the library clientele. This kind of library service which brings together people and books must be based on an intelligent book collection leading to the wise choice of books that offers materials of knowledge to satisfy or stimulate individual and collective interests.

Every library should observe the following pre-requisites for systematic development of its collection:

- i) Every library should have a statement of library philosophy and over-all objectives of the individual library system for the formulation of book selection policy.
- ii) The functions of the library determine the character of book selection.
- iii) Materials should be selected, retained and discarded in the light of the stipulated objectives of each library.

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### **12.3 BOOK SELECTION POLICY**

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In building an effective collection for a library, it is essential to frame certain policy guidelines. Such policy guidelines are imperative because of the library's wide range of functions and limited financial allocations. The characteristic of policy guidelines are -

- i) Every library should have a written statement of policy covering the selection and maintenance of its collection of books and non-book materials;
- ii) The stipulated book selection policy for a library has to be adhered to until it is proved inadequate in practice and substituted by a new policy.

#### **12.3.1 Basic Issues and Factors**

Each type of library attracts a clientele according to the aims and objectives of the library concerned. In order to supply the right book (right piece of information) to the right reader at the right time the selector must have knowledge of the extent and character of the readers' demands, and of books which meet them in terms of their value and variety. Thus the knowledge of the readers, knowledge of books and administrative efficiency ensure efficient library service.

Survey of the community of clientele is necessary to assess the extent and character of their needs. The community survey has to be supplemented by the study and comparison of various records of library use. The librarian should build up and maintain a collection of materials through wise selection bearing in mind the financial position and space available in the library. Each type of library should formulate and develop a definite book selection policy consistent with its pre-determined objectives. The efficiency of the selection policy is judged by the book selection programme which implements it.

The basic issues and factors in book selection are given below:

##### **i) What to select ?**

The first primary factor involved in book selection is the choice of books and the issue to be considered in **What to select?** It involves the nature, form and variety of materials to be selected. The materials may include books, periodicals and non-book materials. The selector needs to have a professional knowledge of books and knowledge of the aids in book selection.

**ii) For Whom to select ?**

The next factor is the interest of readers who use the library which raises the issue, **For Whom to Select?** It involves sympathetic view of the library's clientele and their interests and preferences. A study of library's users through personal contacts, community surveys and interpretation and analysis of library records will enable the selector to be acquainted with the readers' interests and demands. The demand must, however, be assessed and differentiated as to value, volume and variety.

**iii) By Whom ?**

This issue related to the location of responsibility for selection and expenditure of book funds. It also relates to the performance of actual selection whether by a librarian assisted by the library staff, by the book selection committee or by the members of the faculty or by a combination of two or more of them.

Roughly speaking, in a public library book selection should be vested to the library staff who alone can have the experience necessary to assess the possibility of book finding its readers. In large libraries which are divided into a number of departments, the selection can be made in relation to supply and demand in consultation with the heads of the departments. In an academic library, however, book selection should be the joint responsibility of the library staff and the teaching staff.

**iv) For What Purpose ?**

This issue involves the relation of book selection and the collection which result from it to the objective and functions of the library. Each type of library must decide on its objectives and the question of inclusiveness of its collection. Based on these decisions the book selection policy is to be formulated in written form and got approved by the library authority. This is to be followed by a programme of book selection. For a public library the aim of which is to educate and raise the cultural and intellectual level of the reading public, book selection must be made on a fairly comprehensive basis for providing information, recreation, inspiration and knowledge as well as guidance in daily life and in cooperative existence. For a university library, the issue involves the determination of the programme for teaching and research in various fields of learning.

**v) How ?**

The issue of book selection involves the method by which the selection is carried out. Examination of the book itself and book evaluation in relation to readers' requirements are central to book selection.

**Self-Check Exercise-1**

What are the basic issues and factors that are to be considered in framing the book selection policy ?

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

ii) Compare your answer with the model answer given at the end of this unit.

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### 12.3.2 Factors governing Book Selection Policy

The resources of the library are to be considered in the matter of book selection. The resources that affect the selection and purchase of books in a library are - i) **Book resources:** holdings in the library concerned; ii) **Fund resources:** funds available for the purchase of books; iii) **Human resources:** the staff assistance at the disposal of the selector for choosing titles, building up and strengthening the collections and helping the full use of the books on hand; and iv) **outside resources:** such of those books which are available through inter-library loan from other libraries or accessible in near-by libraries need not be purchased.

#### i) Book resources:

The present holdings of the library must be taken into consideration when selections are made. The strength of the present collection in any area will prompt the selector to make it as comprehensive as possible. Similarly, the weakness of the collection in any area will make him build up the collection by filling up the gaps through wise selection. The book selector may also avoid unnecessary duplication of the infrequently used items in case they are available from the collection of other libraries under inter-library loan programme.

#### ii) Human Resources:

Book selection will not be effective if the library has not competent and sufficient staff to assist in the selection and also to process the new acquisitions in time. The staff also should be properly equipped with the knowledge of books and subjects for effective selection of books.

#### iii) Fund Resources:

The important factor in the matter of book selection is finance. The selection and acquisition of books are based on the allotted amount for the purchase of books which varies from one institution to another depending upon the type of the library and the financial resources of the institution. Hence the book selector should maintain a record of receipt of book grant and expenditure incurred on book purchase periodically. The ultimate aim of book selection is to make the most effective use of the allotted fund. However, certain limitations need to be imposed in using the allotted fund.

The reading of reviews is the most effective and quickest aid to selection of books, since the reviews give advance information covering the merits and demerits of books published.

The growth of the library play an important part in book selection. Book selection should be based on the strength of the staff and availability of space and equipment. Book selection helps the library to grow. Non-conventional materials like microforms are helpful in providing adequate information to the readers and occupy less space than other forms.

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## 12.4 PRINCIPLES OF BOOK SELECTION

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The following are the general principles of book selection followed in the libraries:

- i) Select the right book for the library readers

- ii) See that no race, nationality, culture, profession, trade or local customs is overlooked
- iii) Every library collection should be built according to a definite plan and on a broad general foundation.

A part from them, there are principles of book selection followed in different types of libraries under different conditions. They are to be followed with regard to

i) Library users, ii) Library collection, iii) Demand, iv) Groups and special individuals, v) Standards of selection, vi) Controversial issues, vii) Non-book materials, and viii) Relationship with other libraries.

#### **12.4.1 Library users - Actual and potential**

The following book selection principles are used in the context of actual and potential users:

- i) The principal purpose of book selection is to provide the right book for the right reader at the right time (Drury)
- ii) The best reading for the largest number at the least cost (Dewey)
- iii) The first step in book selection should be to ascertain the reading interests of the readers
- iv) Book selection must be in relation to the needs of the community which the library serves
- v) It should provide for both actual and potential users, satisfy the former's general and specific demand as far as possible, and anticipate the demands which might or should come from the latter (Drury)

#### **12.4.2 Library collection - Completeness, proportion and balance**

The following book selection principles are applied with regard to library collection:

- i) The library should not strive for completeness in sets, and series unless it is convinced that it is necessary for real usefulness (Drury)
- ii) It should get what its readers need, and want or can be made to want.
- iii) Every library should be built up according to a definite plan. Its development must be flexible. The library collection must be balanced and comprehensive so as to meet the different needs of its readers.

#### **12.4.3 Demand - Actual and anticipated**

The following book selection principles are followed in the case of actual and anticipated demand from the library users:

- i) Demand is a large governing factor in selection (Drury)
- ii) Representation must be comprehensive of and in proportion to demand and not subject.
- iii) The quality of materials must be related to the other two basic standards of selection, purpose and need.
- iv) The library should provide for actual demand and anticipate any reasonable demand which may be made upon its resources

- v) Variety of demand arises from the complexity of human nature and ability represented in the community and from the several different aspects of any subject (Drury).
- vi) The library should study its community and compare its needs with its demands
- vii) The library should select a mediocre book that will be read in preference to a superior book that will not be read (Drury)
- viii) The library should duplicate the best rather than acquire many.
- ix) The library should select some books of permanent value regardless of whether or not they will be much used.

#### **12.4.4 Groups and special individuals**

The following principles of book selection are applied to groups and special individuals:

- i) No one group should be served at the expense of the other
- ii) The library should be willing to buy, as far as funds permit, the works asked for by specialists and community leaders (Drury)
- iii) The library should select some books to meet the needs of only a few persons if the society at large will be benefited by such selection.

#### **12.4.5 Standards of Selection**

The following principles are applied while applying the standards of selection:

- i) Materials acquired should meet the high standards of quality in content, expression and format
- ii) Books selected must be based on an established set of standards whether written or unwritten.
- iii) The library should select books that represent any endeavour of human development
- iv) Factors such as factual accuracy, effective expression, significance of subject, sincerity, responsibility for opinion and such others must be considered and balanced one against another.
- v) The library should secure any book which it can use to advantage for knowledge and information, for power and inspiration, for amusement or recreation either now or in the future (Drury)
- vi) Within standards of purpose and quality, collections should be built to meet the needs and interests of people.
- vii) It should buy such volumes as are suitable for the library purpose in format as well as in contents, being attractive, durable in binding, paper and printing (Drury).

#### **12.4.6 Controversial issues**

The following book selection principles guide us in the context of controversial issues:

- i) The library collection should contain opposing views on controversial topics of interest to the people.
- ii) No political or sectarian bias should influence the exclusion of good books

- iii) The library should not reject a book because of the opinion of a few narrow-minded people who think it harmful or even bad.
- iv) The library should not be intolerant of fiction, if it measures up to the standard, it has educational as well as recreational value (Drury)
- v) The library should make its collection of books on local history as extensive and useful as possible.

**12.4.7 Non-Book materials**

The following principles are useful in selecting non-book materials:

- i) Non-book materials should form an integral part of the collection depending upon their availability and usefulness
- ii) Selection of non-book and non-print materials should be done in accordance with the standards and specifications recommended by the national standard institutions.

**12.4.8 Relationship with other libraries**

The following book selection principles guide us in developing library collection in relationship with other libraries:

- i) The character and emphasis of the public library collection should be influenced by the existence of other library collections in the area.
- ii) The library should not duplicate valuable books, if available in other libraries in the town and are easily accessible to the public.
- iii) Extensive use of inter-library loan facilities can be availed of for books of limited use.
- iv) The library should discard or refrain from adding books (other than classics and standard works) for which there is neither actual nor anticipated demand.

**Self-check Exercise-2**

What are the three basic principles of book selection?

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

ii) Compare your answer with the model answer given at the end of this unit.

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**12.5 PRINCIPLES/THEORIES PROPOUNDED BY LIBRARY SCIENTISTS**

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As seen above the book selection principles are broad and varied and we can easily understand that they have been developed through experience in library service over the decades by many.

Now let us examine the principles/theories propounded by pioneers in the field of library science who laid down broad principles of book selection.

### 12.5.1 Drury's principles

Francis Drury in his book entitled *Book Selection* (1930) advocated the following basic principle:

**"TO PROVIDE THE RIGHT BOOK TO THE RIGHT READER AT THE RIGHT TIME"**

To provide the right book to the reader in getting the right type of information by him should be the sole aim and function of the library. This principle fall into three parts: (1) knowledge of books and sources of information; (2) knowledge of the needs and requirements of the clientele; (3) Administrative efficiency in coupling these two. This means that knowledge of books and of the needs of the readers is not enough to select books, since there should also be some efficient mechanism by which the library material can be made available at the service point expeditiously. The criteria for evaluation of books are accuracy in the presentation of facts and clear and systematic exposition of the subject.

**Right Book** is not necessarily a good book according to its aesthetic and moral value, but any book can be a good book if it stimulates interest among the maximum number of readers. In the narrow sense, a right book is one that means the informational needs or requirements of a particular reader at the moment. So the library should select any book which may be of use to its clientele.

**Right Reader** means different categories of readers according to their age, educational level, reading habits which a particular library has to serve.

**Right Time** means the administrative efficiency of the library staff in procuring the book demanded by the reader with the least time involvement. It also implies that libraries should select book-sellers who can supply the books ordered within a reasonable time. Thus the prompt procurement of books is made at the right time. The librarian should be able to make out the reading needs and requirements by studying the community interests for selection of the right book.

To serve the readers' needs at the right time means to have a well balanced collection of comprehensive and the latest reading materials which are to be procured according to the present and anticipated demands of the clientele. This is possible if the staff is efficient and professionally trained having thorough knowledge of the resources of the library.

Drury suggested a number of guidelines for selectors, which may be summarised as follows:

- establish suitable standards for judging all books;
- strive to get the best on any subject, but do not hesitate to add a mediocre title that will be read rather than a superior title that will be unread
- duplicate the best rather than acquire the many
- discard or do not add titles for which there is no actual or anticipated demand - except for classic and standard works;
- stock the classics and standard works in attractive editions
- select for positive use - not just good books but ones that serve usefully

- buy editions in bindings suitable for library use - circulation and borrowing
- know publishers, costs and values
- know authors and their works - if possible, develop a ranking system
- provide for both actual and potential users. Satisfy the former's general and specific demands as far as possible; anticipate demands that might or should come from the latter
- do not attempt to complete sets, series, or subject areas unless there is actual demand for completeness

### 12.5.2 Dewey's principles

Another important book selection principle propounded by Melvil Dewey in eleven words reads as follows:

**"THE BEST READING FOR THE LARGEST NUMBER AT THE LEAST COST"**

The theme of the principle is to procure good books for rendering satisfactory service to the maximum number of readers within the available resources. There are three aspects on which the book selection depends: (1) Best reading, (2) Largest number, (3) Least Cost.

#### Best reading

Books which always give maximum pleasure to the reader are supposed to be suitable for best reading. The term, 'best reading,' is a relative term. The best must be modified with 'for'. The best books for a defined purpose. The best books should have some positive use. It must be best for something and be of some service. In choosing the best book, the book selector should observe a balance between the utilitarian principle expressed by the actual reading needs and the interests of the library's clientele and the humanist principle based on literary standards.

The books which are known to be the best books in the field of literature cannot be considered to be the best books in the field of science. Hence in the words of F. Drury "What may be given as best may be the best in its own field, the best that will be read, used and will answer certain demands". Classics and famous literary works are considered best books. However, a book which is demanded most may be termed 'the best book'. According to C.A. Cutter "the best books are those that satisfy the just demands of the patron for recreation, knowledge and study". As per the argument of William F. Pooli, 'there are as many kinds of best books by one reader may not be the best in the opinion of another.

Charles A. Cutter while expressing his opinion about best books put the following questions viz, *Best in what? in style? in interest? In instructiveness? Best for whom?* For the people in general, for the college students or for the retired teacher. As the librarian has to serve various categories of readers, the variety of materials have to be acquired the quality of which might vary according to their usefulness for one group or another. The book selector should be impartial and free from bias in choosing the best books to give adequate representation to the scientific, social and intellectual forces that are reshaping the modern world. The best books should be up-to-date.

#### Largest Number

Books in the largest number can be purchased if they give the best reading and if they are in the greatest demands. The main objectives of the library is to serve the largest number of readers. In providing books for the largest number of clients, the library should consider

both actual and potential users. Unduly aggressive readers with peculiar demands should be restrained but specialists and community leaders should be provided with materials to the extent funds permit. The limitation in this respect is only due to the limitation of resources.

#### At least cost

The ultimate aim of all book selection is to make the effective use of allotted book fund. The budget of the library is always limited and never adequate to meet all the demands of the readers. Every means should be employed to stretch adequate funds. Discounts, books, acquired through gift and exchange save money for additional purchase. On the other hand adequate book service should not be given up on grounds of economy. A book which is important in order to meet a desirable demand may of necessity have to be acquired at any cost. Funds should not stand in the way of acquiring new books promptly and of making the book collection up-to-date. Through library cooperation it may be possible to meet the reader's demands by procuring the required books from other libraries. Further Inter-Library loan programme will help to avoid the duplication of costly and rarely used reference books.

### 12.5.3 McColvin's Principles

**Book Selection and the theory of quality of demand:** Supply has to be considered in relation to the demand. Standard thought contents and utility to the reader makes the book popular. According to McColvin "Book Selection is based on the principle of Supply and Demand". Demand refers to the kind of books which the users of a particular library need or may ask for. Supply refers to types and varieties of reading titles and books from which the librarian makes the selection. "Books are of no use or value unless they are made serviceable by demand". Advocates of the Demand theory are of the opinion that books should be selected only on the basis of the need expressed by the clientele. If demand theory is strictly followed, a library may house a large collection of worthless books. But a procurement of reading materials based on demand can be justified if looked at from the angle of reader's demands.

Not only the demand of the readers but also other factors are to be considered while selecting books. While demand is in the essentially a guiding factor of supply, it should be remembered that the great books of literature form the foundation of library structure and as such books of permanent value and lasting influence and impact must be selected irrespective of the extent of their use. Evidently, some flexibility is essential for selecting books.

**What is best versus what is demanded:** Best books tend to have a lasting quality where as those demanded tend to serve a temporary interest. The Demand theory of selection can always be justified in terms of use but it should never be used to sacrifice the library's literary standards.

Demand for books must be differentiated according to its *value, volume and variety*. These three qualities are applied to assess the nature of demand. 'Volume' is the quantity of demand and variety is the multiplicity of demand. Demands made upon books in the library are not of equal measure and may vary from one group to another.

**VALUE:-** The quality of books depends upon their value to the readers. Subject books are generally valuable books. Valuable books are sources of knowledge. Mass reading materials are of low standard and are meant for general reading and not for serious study.

The desire or need for book arises because it provides intellectual, spiritual or recreative stimulus. For the evaluation of the book, we require a common standard to judge. The demand is what the people want. The demand and its proper evaluation standardise the quality which

is the aim of book selection.

The best course of demand theory is to select and purchase all the books demanded by the clientele without subjecting them to any process of selection or differentiating among them. Here comes a second factor for differentiation, variety.

**VARIETY:** Various interests, habits and tastes would lead to varieties of demand. Varieties of demand evolve due to the complexity of human nature. In libraries many books on the same subject fields by different authors are needed.

The way of approach of one reader to a subject may be different from that of another reader due to educational and intellectual differences among readers. So, in order to cater to the needs of different clients in the library, books on the same subject with different approaches and treatments are necessary.

**VOLUME:** Volume of demand is generally estimated by the extent of books used. It is also assessed by notes, the number of times a particular title is issued to the readers and by examining whether the demand for it is a stable or a temporary one. Therefore, in book selection both quantity and quality of demand are to be considered together.

The demand for books in each library whether public, academic or special, is to be examined for the purpose of book selection from the point of view of quality and quantity. Thus all the three factors, Value, Volume and Variety, of Demand theory have to be considered, related and balanced to make book selection into a useful process.

Lionel R. McCollin outlined community demand as the basis for book selection in his monograph entitled *The theory of book selection for public libraries* (1925). His premises may be stated briefly as follows:

- Public libraries are established in response to, and in anticipation of, demand
- The process of book selection involves both supply and demand. The library's function is to discover and assess community demand, then to satisfy those demands.

The basic criteria for book selection propounded by McCollin may be summarised as follows:

- the information should be as accurate as possible.
- the book should be complete and properly balanced, with due regard being given to its subject and intended scope;
- the currency of the information is frequently the determining factor;
- the writing style and treatment of the subject should be appropriate to the type of demand to be met.

Broadly McCollin's principles are applicable to any type of library not just to public libraries.

#### 12.5.4 Ranganathan's Principles

Ranganathan was a great theoretician and a practitioner, who could apply scientific approach to collection development. His five laws of library science are also helpful in formulating the principles of book selection. The first three laws underlie Ranganathan's concept of how a library collection should be built.

The first law '*Books are for use*' makes the librarians obligatory to select the books which are

of use to the library users. While selecting the books, actual and potential needs of the users are to be kept in mind.

The second law '*Every reader his/her book*' also emphasises the need for keeping the user's requirements while selecting books for a library. It further stresses that the language, subject and style should be suitable to the level of the readers.

The third law '*Every book is reader*' suggests that every effort should be made to put to use the collection to the readers. This also emphasises the need for selecting the books according to users' needs.

In a nutshell, utility should be the first consideration in book selection.

### Self-Check Exercise-3

What are the two basic premises propounded by Lionel R McColvin with regard to the book selection ?

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

ii) Compare your answer with the model answer given at the end of this unit.

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## 12.6 USERS' STUDIES

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As the preceding discussion suggest, user turns out to be the target of all activities of the library. Therefore, it becomes necessary to know about users in order to build up the library collection which would meet their informational requirements.

Use of questionnaires, interview, and observation methods are the most common approaches for conduction user studies.

User surveys are usually undertaken to assess the informaton gathering habits of users, their approach to seek the use of documents, the extent of reliance of collection in librares, etc. These studies help to understand users' approach and in turn help the librarians to determine the priorities and allocation of funds for collection development.

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## 12.7 APPLICATION OF BOOK SELECTON PRINCIPLES TO DIFFERENT TYPES OF LIBRARIES

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### 12.7.1 Public Library

Book selection is the process of compromise. It means the rejection of many books for the selection of a few books. The Public Library attempts to achive the (i) Educational, (2) Civic and (3) Utilitarian aims. (1) The Public Library provides people with information and knowledge

which, it is hoped, will lead to wisdom and understanding (Educational aim). (2) The Public Library offers the citizens of a democracy the means by which they can become informed and enlightened citizens (Civic aim). (3) Apart from offering facilities for the individuals to become enlightened citizens and educated persons, the public library should help the individuals to improve their occupational abilities (Utilitarian aim), i.e, the library should help school children to get better grades, to help the businessmen to make more money, etc.

According to Thomas Brary, "Library is an open door through which people can participate in all the accumulated wisdom of the race, "The promotion of reading has been advanced by the public libraries since its inception.

#### **Public library - Book Selection Policy :**

The Book Selection policy in a public library depends on its clientele. While the demands of users are taken into consideration, the policy of collecting is influenced by other factors such as the age of the library, its income, and its location. During 1914-1918 (The First World War), five general principles were promulgated.

1. Book Selection should be of such nature that it can reflect the education, information, aesthetic appreciation, recreation and research.
2. Book Selection should aim at fulfilling the common need of the community.
3. The policy should be conceived as a living and changing organism.
4. The procedure should be carefully planned and organised in every public library.
5. Evaluation should be on the basis of services, qualifications and energy of the staff, public relations programme, location and physical aspects of library building and service outlets.

Sufficient number of books should be added every year to reflect the current and useful information. According to A.L.A. the public library has to serve the following purposes to enable the people to

1. Contribute to the growth of knowledge;
2. Make much use of the leisure time;
3. Appreciate and enjoy work of art;
4. Develop creative and spiritual capacities;
5. Discharge political and social obligation;
6. Become better members of home and community;
7. Educate themselves continuously.

The public library should be free and open to all.

**Active Approach:-** The public library should build up the collection of reading materials so as to enable the people to make use of books of their choice.

**Passive Approach:-** The public library should apart from books, add non-book materials and audio-visual materials to attract others also who are not interested in reading books in order to bring about an increase in the use of library collections.

The public library should provide individualised service whereby each gets the precise thing which is best suited to his particular needs, to his ability, to his interest and background. The public library with all its resources should meet the book needs of different types of users.

The following methods are followed for selection of books in public libraries.

1. Through the personal selection of key professionals;
2. By Committee of Members;
3. By the Staff and
4. By inviting suggestions from the public.

### 12.7.2 Book Selection in the Academic Library

The Library is an indispensable limb of the educational organisation. In the words of Carlyle. "A true academic institution is a collection of books". No Academic institution can fulfill its mission without a well equipped library and properly trained staff. The Library is not merely a store-house of books; it should be dynamic and set out to assist and attract the borrowers and make them use it. In a country like India where public libraries are not developed, the academic library, especially the university library, may preserve and disseminate knowledge among the educated people and all teaching and research activities can be radiated from these libraries. An academic library should have books on all subject and the best books.

The best thing for any library programme is its book collection. Sometimes actual demands are overlooked and books on demand are acquired. They do not fulfill the expressed demand or the potential demand. Text-books should not be given such importance as to discourage wider reading. The aim of book selection should be to provide a variety of the best to the largest number at the least cost. The librarian should keep in touch with the students and teachers book needs and must be aware of the largest number at the least cost. The librarian should keep in touch with the students and teachers book needs and must be aware of the different types of publications brought out in the various parts of the world. The library staff should be familiar with the research done in various branches of knowledge resulting in the publication of a number of books for building up a balanced collection.

Book Selection is easier in the academic library than in the public library. Here, subject specialists in each subject are available; syllabus, publishers, catalogues and book selection sources are also available for selecting books. Academic institutions have distributed their library book grants among the teaching departments on the basis of formula worked out in the interests of the given institution. But where the library regulates funds, the librarian is responsible for the book acquisition. *Publisher's weekly* and standard publishers' catalogues are consulted and the best possible books are acquired on the basis of the indents received from the staff of different Faculties. Big institutions or libraries receive publishers' catalogues and announcements regularly reporting new titles to enable the faculty members and the library staff to select and acquire titles suitable to their libraries.

The following factors influence book selection in a university library: (1) Nature of the University; (2) Size and the nature of the present holdings; (3) Curricula; (4) Teaching methods; (5) Research programmes; (6) Number of Students. (7) Number of Faculties, (8) Library System and (9) Funds available. All the problems arise while making book selection. Some librarians prefer to make existing collections more comprehensive while others prefer to purchase new titles, mostly of reference nature. The university library should not favour the

collecting of rare books and manuscripts unless there is a necessity or a purpose behind it and money specially available for it. The librarian and the faculty should work together in rational book selection. The university library should not buy pocket books and cheaper editions. Apart from books and periodicals, the university library should acquire and make available research reports, conference proceedings, seminar papers and non-book materials in Microforms (Micro cards, Microfilms, and Microfiche, Audio Visual Cassettes etc) necessary for research programmes.

### **12.7.3 Book Selection in Special Library**

A Special library requires access to all types of published information in order to enable professionals and researchers to keep abreast of the latest research and information relevant to the interest of the organisation concerned. A special library is thus motivated by a particular objective and the collection of the material will reflect this objective. Its main aim is, however, to collect information rather than material.

The special library's main function is to disseminate nascent micro-thought to its clientele. The acquisition of materials for the special library fulfills the immediate needs and facilitates the establishment of a comprehensive basic collection to provide for future interests. The collection represents a variety of materials of research value such as monographs, handbooks, encyclopaedias, technical subject dictionaries, bibliographies on subjects, periodicals, indexing and abstracting periodicals, government documents, technical trade literature, patents, standards, translations, theses and dissertations, research reports, conference proceedings, etc. In certain special libraries maps and plans are acquired through selection. Comprehensive acquisition of the latest literature in the subject field is its first objective as it is needed and used. Though the emphasis is on the current publications, the building up of a retrospective collection of books on the relevant subject area should also be done. Many of the books procured may be infrequently used, though they are required for research and evaluated by experts to be relevant and important. In a special library the value of a book is not judged primary by the frequency of its use.

### **12.7.4 Book Selection in Children's Library**

There are three major principles for managing the children's library: (1) Well qualified librarian, (2) Good books, and (3) Modern facilities. Sound knowledge is required for the selection of children's books. The great problem is the rapid increase in the number and variety of titles, many of which are of great value for their own sake and for their usefulness in the school curriculum. Children's libraries must cater for different age groups. The librarian should be in the know of the current fads of his clients in order to keep abreast of their interests.

### **12.7.5 Hospital Library**

Hospital libraries cover main hospitals, mental hospitals, and sanatoriums. Book selection play an important role in hospital libraries. The librarian is responsible for selecting the books to suit the patient's tastes and demands. The Hospital libraries should cooperate with the neighbouring public libraries for getting out-of-print books and books on special subjects. In addition to fiction, non-fiction-books dealing with travel, sports and pastime, and history have to be selected. Picture books and books with an attractive get-up in addition to books on diseases should be selected.

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## 12.8 BOOK SELECTION PROCEDURES

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Most of the library authorities constitute Committees to go into the matters relating to book selection.

In selection procedure, there are three methods followed in the libraries: i) a book seller may supply books on approval to the library on his own initiative, ii) Some titles for selection may be derived by library staff, and iii) a proportion of titles for the purpose may come in the form of users' requisition. Before the committee meets to recommend for procurement, the source materials could be checked against previous records in the library collection to avoid duplication until and unless being deliberately duplicated. When the recommendations of Committee are accepted by the appropriate authority the list of selections could be passed to the order procedure.

In respect of periodical titles, both considerable time and careful attention are devoted to the initial selection decisions as they involve long lasting commitment of library funds.

There are various ways of determining which are the most important periodicals in a subject field:

- Surveys and interviews with users, about the needs of periodicals. Surveys of in-house periodical use relating to other libraries may also serve some purpose;
- Select lists of periodicals from an authoritative source. For example, some selective bibliographies and 'some guides to the literature' include lists of recommended periodicals in their subjects field;
- Analysis of periodicals covered by indexing and abstracting services;
- Bibliometric analysis.

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## 12.9 SUMMING UP

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Book Selection for any library is a specialised job. The book selection in a library is to enrich the knowledge of its clientele in general and to further their intellectual, spiritual and social development. With the funds available a library must not only provide books but also stimulate intellectual curiosity, encourage independent thinking and inculcate value that will shape individuals into responsible citizens of the country. Book selection is based on certain principles in relation to the objectives of the respective libraries. Book selection policies should aim at a reasonable cost. It is based on demand which should be differentiated as to value, volume and variety. The problems of book selection differ from library to library. There is a balance to be maintained between books of ephemeral value and those of lasting value. The requisition of duplicate and second hand books should be discouraged. The latest books should be selected to enrich the library collection. Thus book selection must be an orderly and coordinate process.

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## 12.10 MODEL ANSWERS TO SELF-CHECK EXERCISES

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1) The basic issues and factors in book selection are -

**What to select** (refers to nature, form and variety of materials)

**For whom to select** (refers to library's clientele)

**By whom** (refers to selection authority)

**For what purpose** (refers to library's aims and objectives)

How (refers to evaluation of books in relation to users' requirements)

- 2) The three basic principles of book selection are -
  - i) Select the right book for the library readers
  - ii) See that no race, nationality, culture, profession, trade or local custom is overlooked
  - iii) Every library collection should be built according to a definite plan and on a broad general foundation.
- 3) The two basic premises of McCoolvin are
  - i) public libraries are established in response to and in anticipation of demand;
  - ii) the process of book selection involves both supply and demand. The library's function is to discover and assess community demand then to satisfy those demands.

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### 12.11 ASSIGNMENT

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- 1) What are the principles of Book Selection?
- 2) Mention the basic issues and factors involved in book selection.
- 3) Demand is one of the factors governing book selection. Demand should be differentiated as to Value, Volume and variety. Explain.
- 4) Explain the statement, BEST READING FOR THE LARGEST NUMBER AT THE LEAST COST, with reference to Book Selection.
- 5) State briefly the application of principles of Book Selection to different types of libraries.

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### 12.12 RECOMMENDED BOOKS

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- 1) Carter, Duncan Mary : Building Library Collection  
pp.11-39.
- 2) Chakrabarti, Ajit Kumar : Treatise on Book Selection  
pp.1-6, 35-42.
- 3) Muthuswamy, Thirumalai : ABC of Library Science,  
pp.77-98.
- 4) Sharma, Chandra Kant : Book Selection and physical Bibliography,  
1x-x1, pp.1-41.
- 5) Sengupta, B. : Book Selection,  
pp.1-42.,

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## UNIT-13 : BOOK SELECTION TOOLS

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### Contents

- 13.0 Aims and Objectives
- 13.1 Introduction
- 13.2 New and Forthcoming publications
- 13.3 Sources for selection of Indian publications
- 13.4 Book selection tools
  - 13.4.1 National bibliographies
  - 13.4.2 Book trade periodicals
  - 13.4.3 Trade bibliographies
  - 13.4.4 Book reviewing periodicals
  - 13.4.5 Book reviews
  - 13.4.6 Publishers and booksellers' catalogues
  - 13.4.7 Government publications and other sources
  - 13.4.8 Reference books
  - 13.4.9 Serial publications
- 13.5 Book selection tools : Non-book materials
- 13.6 Book exhibitions and Book fairs
- 13.7 Summing Up
- 13.8 Model answers to Self-check exercises
- 13.9 Recommended Books
- 13.10 Assignment

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### 13.0 AIMS AND OBJECTIVES

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This Unit aims to provide an account of the different guides or tools available for selecting book and non-book materials for different types of libraries and also the necessary guidelines to be followed for building up a balanced and wise selection of documents in fulfillment of the determined objectives of the libraries.

After studying this unit, you should be able to

- trace Sources for book selection, both Indian and foreign;
- explain the importance of national bibliographies, INB and BNB;
- discuss the role of trade bibliographies in book selection
- describe book exhibitions and book fairs.

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### 13.0 INTRODUCTION

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Efficient functioning of a library depends upon the provision of suitable reading materials to the majority of its users. This is based on building up wise and balanced collection of reading materials in fulfillment of the objectives of the library. To achieve this, the library has to make

use of the tools or guides to select available books in different forms both Indian and Foreign.

A library has to acquire basic materials to build up the collection and to make additions in relation to the changing interests and requirements of the parent institution. In order to do this, it is necessary to know the existing publications. There are different approaches to achieve this task. (1) The information about the important and standard books in any subject can be obtained by scanning the accession lists of other libraries specializing in the required subjects. (2) An examination of the list of books stocked by book sellers will also be helpful. (3) The perusal of the lists of books available with the second hand book-sellers will be useful to know the basic collection in a subject field.

A library has to keep pace with the new publications to make its collection upto-date. This requires knowledge of the sources giving information about the different publications. Sources range from general list covering varying degree, embracing all the branches of knowledge (e.g., Social Sciences) and specialized lists dealing with a specific subject (e.g., Economics).

Sources can be grouped into two categories: (1) Those which list existing publications useful for building basic collection of the library, and (2) those which contain information about new and forth coming publications.

The primary sources in the first category are bibliographies and published library catalogues. Any library of normal size should have some volumes of either the national or trade bibliography, of the concerned country like *British National Bibliography*, *Whitaker's Cumulative Book list etc.* For a library specialising in a narrow subject in which books are published by few publishers, respective publishers catalogues will be more useful.

The guides of A.J.Walford and C.M.Winchell list a number of reference publications in all subjects and for science subjects, F.B.Jenkins *Science Reference Sources* serve the same purpose. The catalogues and bibliographies which are based on the collections of major libraries like Library of Congress, and British Library, are of primary value as book selection sources. Series of annotated guides to the literature of specific subjects published by M/s. Butterworths & Co. Ltd., U.K. are important guides and aids in book selection in their respective fields. (e.g. *Use of Mathematical Literature; Use of Physics Literature; and Use of Social Science Literature, etc.*)

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### 13.2 NEW AND FORTH COMING PUBLICATIONS

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Sources for obtaining information about the recently published and also forth coming titles are many.

(1) A number of book-sellers now provide announcement service for new publications. Book-sellers like B.H.Blackwell Ltd., Oxford send printed cards for individual titles describing the details of new books to make the libraries order for them.

(2) The library making substantial current acquisitions may need the weekly or monthly issue of the national (e.g., *Indian National Bibliography*) or trade bibliography (e.g., *Indian Books in Print, American Book Publishing Record*). Since these lists appear in cumulative volumes with provision of indexes, they are useful for the library for retrospective searching. For the majority of libraries which select books by subject B.N.B. and A.B.P.R. are more useful since they contain classified list of books.

Some abstracting and indexing services also announce books, monographs, patents and standards within their sphere of interest.

(3) In spite of time lag, the most useful sources of information about new publications are reviews and notices communicated in the periodicals and newspapers.

(4) The exchange of accession or recent additions lists regularly between libraries will help to know the details of new titles.

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### 13.3 SOURCES FOR SELECTION OF INDIAN PUBLICATIONS

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The publisher's and booksellers' catalogues are important sources for the current Indian publications. There are three types of publishers in India: (1) Publishers of books in English language (2) Publishers of books in regional languages, (3) Publishers of translations in regional languages from English or other languages. Only a few publishers and book-sellers are of standard type with all the organisational capacities. Their catalogues are available either in a regular or irregular manner.

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### 13.4 BOOKS SELECTION TOOLS

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We can broadly classify the different types of book selection tools under the following headings :

- i) National Bibliographies
- ii) Book Trade periodicals
- ii) Trade Bibliographies
- iv) Book Reviewing Periodicals
- v) Book Reviews
- vi) Publishers and book-sellers catalogues, and
- vii) Government publications and other sources.

The number of book selection tools, both retrospective and current, is numerous and we can discuss only some of the important tools.

#### 13.4.1 National Bibliographies

Many countries of the world publish national bibliographies and are the best source to select both current and retrospective publications. In India the stock of majority of libraries are in English and Indian languages and hence the selection tools are restricted to these languages only.

##### (i) *British National Bibliography (1950 - )*

For British books, the best selection tool is the British National Bibliography. Being a weekly publication, it gives latest information on British books. It is a classified list, arranged by Dewey Decimal Classification, with author and subject indexes. The monthly issues include an index of the previous weeks and is further cumulated every quarter and then issued in annual volume. There are also five yearly index. Hence BNB serves both as a current selection tool as well as retrospective selection tool. It gives complete bibliographical details and hence those libraries subscribing to BNB can also use it in the cataloguing department to trace the class number and the catalogue entry.

##### (ii) *National Union Catalogue of LC (U.S.A.)*

In U.S.A. there is no national bibliography on the lines of BNB, but the National Union Catalogue of Library of Congress serves the purpose. It is a monthly publication and includes

books received in the Library of Congress and titles reported by other U.S. libraries. Very few libraries in India subscribe to this as there are alternative tools to check U.S. Publications.

(iii) *Indian National Bibliography (1957- )*

Indian National Bibliography is published by the Central Reference Library, now a section of the National Library of India, Calcutta. It was started as a quarterly publication in the year 1957, became a monthly from 1964. It includes 13 Indian languages and English. The major drawback of INB is it is much behind publication schedule and as a book selection tool it is of not much use. If it can keep up with time schedule it can be the best tool for Indian books as it covers 14 Indian languages and will be a handy tool for all libraries.

(iv) *National Bibliography of Indian Literature : (1901 - 1953)*

It is a four volume publication, published by the Sahitya Akademi. It is a retrospective bibliography and is a handy tool for old books published in Indian languages.

Vol. 1 - Assamese, Bengali, English and Gujarati

Vol. 2 - Hindi, Kannada, Kashmiri and Malayalam

Vol. 3 - Marathi, Oriya, Punjabi and Sanskrit

Vol. 4 - Sindhi, Tamil, Telugu and Urdu

Vol. 5 - Dongri, Konkani, Maithili, Manipuri, Nepali and Rajastani (1901-1980)

The subjects covered are philosophy, religion, history, literature and other humanities subjects. Each volume has an alphabetical list and serves to trace books written by particular author.

### 13.4.2 Book Trade Periodicals

There are a number of commercial ventures whose main job is to bring out publications about publications. Such publications have no regular periodicity and the subscription rates are also considerably high. A few of them are discussed below :

1) *Cumulative Book Index (CBI) : Is a world list of books published in English language (1898- )* published monthly (except in July) by H.W.Wilson, New York. Entries are arranged in one alphabetical sequence of authors, titles and subjects. It can be stated as an international trade bibliography for English books. It is cumulated semiannually, annually and quinquennially. Being one of the comprehensive book selection tools it is acquired by many libraries.

2) *American Book Publishing Record (ABPR)*: Better known to librarians as BPR. Published as monthly since 1960 by R.R.Bowker, New York. It is a well used book selection tool. Covers all American publications. Arranged by Dewey Decimal Classification and entries are made according to AACR Rules. Hence it is a handy tool to the cataloguers who can rely upon its classification and catalogue entries. Cumulated annually and is now available in a 15-volumes set covering the years 1950 to 1977. Being arranged subject-wise, it is an excellent tool to prepare adhoc bibliographies on a given subject. The entries also provide subject headings.

3) *Booklist* : It is published from Chicago by A.L.A. since 1905 as a fortnightly publication. Another good tool for American books. Entries are classified by Dewey Decimal Classification. Provides author and subject indexes and brings out annual volumes giving the authors and titles.

4) *Bookseller*: It is the oldest book trade journal published from London by J.Whitaker & Sons, since 1858. It is now a weekly publication and contains information on all important

British books. Entries are arranged in alphabetical order. Also brings out annual cumulation.

5) *Whitaker's Cumulative Book List*:(1924-) This is a quarterly publication of British books. The arrangement is subject-wise, under broad subject headings, with author and title index. It is based on the entries made in the *Bookseller* and libraries subscribing to *Bookseller*, will not find much use.

6) *Indian Book Industry*:(1969- ) A monthly publication from Delhi by Sterling Publishers. Covers information on books published in English language in India. Besides it includes articles on publishing and book trade, significant news items, Government policies on book trade and other pertinent items useful to librarians. It also publishes occasionally subject bibliographies and brings out special issues.

7) *Publishing in India* : A monthly publication brought out by D.K.Publishers & Distributors. It contains majority of the English books published in India and which are distributed by this agency.

#### Other Book Trade Periodicals:

i) *D K Fortnight* : *Good tidings for fresh books* (1988 - ) published by D K Publishers, New Delhi.

ii) *Book Talk* (1972 - ) published as monthly by Wiley Eastern, New Delhi.

iii) *Springer Scan* (1987 - ), issued by Springer Books (India), Delhi.

iv) *Allied Book News* : *A world of books within your reach* (1992 - ), published by Allied Publishers, New Delhi.

v) *Laws & Flaws* (1962 - ), a monthly published by Law Publishers (India), Allahabad. (Specialised in law publications)

vi) *J M J Book Info* (1984 - ), a monthly published by J M Jaina Bros., Delhi. (Specialises in Government publications)

vii) *SCIENTIAL* : *A review from Narosa* (1987 - ), issued by Narosa Book Distributors, New Delhi. (includes book reviews and new journals)

viii) *The Academic Update* (1991 -), published by Academic Press, San Diego (USA)

ix) *New Publications Bulletin* (1975 - ) , published by Pergamon Press, Oxford. (It covers books, journals and reference

#### Self-Check Exercise-1

List any five book trade periodicals useful in selecting books published in India.

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

ii) Compare your answer with the model answer given at the end of this unit.

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### 13.4.3 Trade Bibliographies

Trade bibliography is one issued by commercial organizations like publishers, booksellers, distributors and printers for a particular country with business motive.

#### I. INDIA

##### Current Bibliographies

(i) *Indian Books, (1971- ) an annual bibliography*, New Delhi: Today and Tommorrow's Book Agency.

It attempts to record Indian books published in English or reprinted in India during the year. It covers books and monographs published by the book trade, publications of the State and Central Governments and those issued by learned societies and institutions. The entries are arranged in separate sequence -author, title and subject.

(ii) *Indian Books* published by Indian Bibliographic Centre, Varanasi.

It is an annual publication dealing with Indian books published or reprinted in the English language during the year. Children books, school text books, and Government publications (except those of Ministry of Information and Broadcasting and district gazettes) are excluded.

It consists of an author, subject and title part, each containing complete entries and is a reliable publication.

##### Retrospective Bibliographies

(i) *Indian Books in Print: A bibliography of Indian Books in English language (1955-67)*, published by Indian Bureau of Bibliographies, Delhi (1969).

It is a select bibliography of English books published in India from 1955 to 1967 and was released towards the end of 1969.

It includes over 40,000 books and pamphlets by about 1500 publishers. It also covers a large number of publications brought out by various societies and institutions as well as Government publications including pamphlets. Only those pamphlets relating to non-government publications which were found important are included.

The book is divided into five parts: (i) Classified, (ii) Author Index, (iii) Title Index, (iv) Subject Index, and (v) List of Indian publishers.

In the classified part, entries have been arranged by subject according to Dewey Decimal Classification and suitable feature headings have been provided. The entries included in this part give the usual bibliographical information.

The author and title index entries contain complete bibliographic information and satisfy the approaches through author and title.

The subject index provides subject approach and directs the user to the classified part when entries for the same specific subject are to be found in one place. Entries in general have been prepared according to rules given in the *Classified Catalogue Code: with additional rules for*

*Dictionary Catalogue*. Since the work has been compiled by librarians, it can serve as a useful aid in cataloguing and classification of publications included here.

The book is a major contribution to the bibliographic organisation of Indian materials. It is of immense value to librarians and book-sellers for procurement of books.

(ii) *Indian Books in Print : 1972: A bibliography of Indian books* published upto December 1971 in English language by Indian Bureau of Bibliographies in 1972 in 3 volumes.

It covers about 60,000 publications in English published from 1901 to 1971. It follows the same pattern as that of *Indian Books in print 1955-'67*. The first, second and third volumes cover author, title and subject entries respectively. It fills an important gap in the bibliographic control of Indian publications. It covers a period neglected by Indian bibliographies. The edition of 1986 published in three volumes on the same pattern includes 2,55,000 entries of books published upto the end of December 1985. Though there is time lag in its publication, it is a useful source for Indian publications. The latest edition of 1994 contains 3,50,000 entries.

## II. United States of America

*Books in Print* (New York: R.R.Bowker, 1948 - ) Annual

*Books in Print* was started in the year 1948. B.I.P. lists what is available. It draws its basic information from publishers Trade list annual. It is now in six volumes. The first three volumes deal with author entries. The other three volumes consist of title and series entries arranged in alphabetical order.

It covers books published in the USA and available for purchase. It lists both new and old titles. All items listed in *Publishers Trade List Annual* P.T.L.A. are found in B.I.P. B.I.P. is in fact an author, title, series index to P.T.L.A. It covers over 3,55,000 books. Information includes author, title, price, edition, year of publication, ISBN, etc. It is a valuable addition to trace bibliographic details. Detailed bibliographic information is provided for each title. It tells whether a book is available for purchase, from whom and at what price. 1984 edition has listed titles brought out by 6900 publishers. It is an extremely valuable source of American publications. Its reliability depends on the accuracy of the information supplied by individual publishers. Its main object is to inform the book trade and the purchaser what books are still in print with the publishers and to furnish other bibliographical details. As a book selection tool its value is limited as the listing is done by authors and titles.

## III. United Kingdom

*British Books in Print: 1967 - Annual* (London: Whitaker) Books on all subjects are included. Originally it was published under the title *Reference Catalogue of Current Literature*. The main sources for the list of books are *Book Seller* and *Whitaker's Cumulative Book list*. In this publication books published by more than 6,800 publishers are included. Coverage with regard to non-book materials may not be exhaustive. Maps, manuscripts and microcopies are also included. 90% of the publications are conventional books. So its coverage with respect to type of materials is adequate. Most of the books are in English language although books in other European languages are included in this catalogue.

Most of the publications included in the bibliography are of British origin. The British publications of many foreign publishers which are available for sale in the United Kingdom are also listed in this bibliography. Since the coverage is exhaustive with respect to British books, it can be considered as a very valuable bibliographical tool.

There is no restriction with regard to the period covered. The only criterion for the inclusion of a title is its availability for sale. Hence, its coverage is wider than it appears.

It is published in two volumes. The order of arrangement of entries is alphabetical by author, title, series, cross-references etc. This is not very helpful arrangement. Both author and title entries are not separated by putting them in separate volumes as was the case in the earlier editions prior to 1971. Entries of related subjects are scattered throughout the bibliography. Absence of subject grouping to a great extent reduces the usefulness of a bibliography. Non-provision of a separate index for subject entries affects the quality of the bibliography. Extensive use of abbreviations is found in preparing entries. Provision of list of abbreviations given in the preliminary pages is helpful for consultation. As in the case of **Books in Print (American)**, **British Books in Print** is more useful to the ordering section of the library to know the publisher, price and date of publication. The 1986 edition containing 650,000 entries was issued in 4 volumes.

#### IV. INTERNATIONAL

*International Books in Print*, 2 Volumes (2nd edition 1981-82). Detroit: Gale Research Co., 1981.

This new 1981-82 edition lists over 80,000 titles in English published outside the USA and UK from publishers in 89 countries. The countries and areas from which the largest number of titles are included are Canada, Australia, India, and Africa. It also indicates thousands of English language titles whose main languages are French, German, Spanish or other languages. For easy consultation, all books are listed under both author and title. The set also includes the name and address list of all publishers mentioned.

*International Books in Print* is a valuable aid in selection of books in large research and academic libraries.

#### Self-Check Exercise - 2

What is the arrangement of entries in *Indian Books in Print* ?

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

ii) Compare your answer with the model answer given at the end of this unit.

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#### 13.4.4 Book Reviewing Periodicals

The above mentioned trade periodicals rapidly communicate information about the books published and also to be published providing necessary bibliographical details. In the age of publication explosion, this may not help the libraries and specialists to know whether the titles are relevant to their needs. Unless the brief description of the contents of the titles along with their merits and demerits are made available, proper book selection will not be possible. This

situation paved the way for the publication of book reviews in newspapers and periodicals. The Book Reviews should be standard ones, unbiased, balanced and written by subject specialists.

For speedy communication of Book Reviews, periodicals reporting Book Reviews, both in India and foreign came to be published. Some of them are given below by way of example.

i) *Book Review Digest* (H.W. Wilson). 10 issues a year. It is devoted to reviews of selected American books. Only such books which are reviewed in at least two journals appear in this digest. Entries are alphabetical by authors with full bibliographical details along with Dewey numbers. It is cumulated half yearly and yearly.

ii) *Publisher's Weekly* (R.R. Bowker). It is both a book trade journal as well as a reviewing periodical. It is a popular book selection tool as it covers the reviews of forthcoming books. It gives advance information with probable dates of publication of new books. Another feature of the weekly is, it lists what are called 'Best Sellers'. The weekly issues cover both paperback and hard bound best sellers and is a valuable guide for popular books. The 'Best Sellers' is based on the sale of a particular volume on the American book stands. It also brings out a *Weekly Record* which now forms part of *American Book Publishing Record*.

iii) *Library Journal*. Another Bowker publication. The journal is useful both as a Library Science subject journal and a book selection tool. Covers annotated lists of books, arranged subject wise. Special lists are published on children's books, reference books and paperbacks.

iv) *British Book News* (1940 - ): A monthly published by the British Council London. It gives exhaustive reviews of select lists of books. Entries are classified and arranged by Dewey Decimal numbers. Usually one or two articles of interest to librarians are included in every issue.

v) *Indian Book Chronicle* (1976 - ). A fortnightly published from Delhi. It gives reviews of Indian books. Reviews are written by subject specialists and are valuable to evaluate in the book selection process. There are several other reviewing journals like, *Choice*, *New York Times Book Review*, *Times Library Supplement*, *Saturday Review*, etc.

### 13.4.5 Book Reviews

What is described above of journals which are solely devoted to the review of books. There is another type of useful book selection tool and they are subject journals. Well known periodicals usually have a book review section. They cover the subject of the periodical or allied subject. For example a library science journal covers reviews of books on library science. Hence this type of reviews are more valuable for selection of books.

Reviews are also covered in newspapers. There are several newspapers that bring out weekly supplements on book reviews and are useful to supplement other reviewing journals.

### 13.4.6 Publishers and Booksellers Catalogues

For the day to day selection of books many libraries depend on publishers' catalogues and announcements. Major publishers bring out catalogues annually, listing all their publications, including the forthcoming books. In addition, at regular intervals they send their advertisement materials. In USA, a combined catalogue of major publishers is available on subscription basis. This is published by R.R. Bowker annually and is known as *Publishers' Trade List Annual*. Many publishers bring out their own newsletters at regular interval and usually available on gratis. Libraries can ask publishers to put their library on the free mailing list of the publishers. In

India many publishers and book sellers bring out their catalogues and newsletters which can be procured gratis.

### 13.4.7 Government Publications and other sources

Various agencies of central and state governments issue catalogues of their publications at regular intervals. The publications include books, reports and other occasional papers priced and unpriced. Many current publications are notified in Official Gazettes which though belated can be used as a secondary source for book selection. The Publications Division of the Central Government publishes a list or catalogue of its publications, which can be acquired from the Manager of Publications, Government of India, Delhi and authorised agents. The catalogue of Parliamentary Publications is a list published by the Lok Sabha Secretariat and it is an important source for book selection. The Manager of Publications is considered as the major publishing agency for the Central Government publications.

Catalogues of State Government publications are generally issued in an irregular manner by the Controller of Printing and Stationery Superintendent, Government Press. Such catalogues are not much helpful in book selection.

*A bibliography of Indian scientific and technical publications 1960-65* was published by the Council of Scientific and Industrial Research (CSIR), New Delhi.

*Bibliography of I.A.R.I. publications 1905-1963* was published by Indian Agricultural Research Institute, New Delhi.

*Bibliography of Dictionaries and Encyclopedias in India languages (1964)* by National Library of India, Calcutta.

Further, institutions like Sahitya Akademi, National Book Trust of India, publish both original and English translations of works of literary merit in Indian languages. Similarly Telugu Academy, an institution under the control of the Government of Andhra Pradesh publishes standard books of literary value in Telugu language.

For Indian libraries there is another good book selection tool, i.e. *Accessions List South Asia*. This is a monthly publication of the Procurement Centre of Library of Congress at Delhi. Under the U.S. PL-480, the Delhi procurement centre buys in multiple copies selected Indian books in all Indian languages, including English. The books so procured are listed monthly and this list is a reliable book selection tool. Arrangement is alphabetical and also by language. Wherever necessary small annotation is also given.

Another selection tool one can depend on is the accession lists of other libraries. It would be a good practice to exchange lists of new books added with other libraries.

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## 13.5 BOOK SELECTION TOOLS : NON-BOOK MATERIALS

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Non-book materials include audio-visual materials, microforms, computer based materials, etc. Most of the non-book materials, till recently, have been produced by advanced countries like, United States. Indian libraries acquire them and then available to their readers. Now a days many of these non-book materials have been in India also. The selection of these materials pose some problems as the bibliographic control of such materials is not well organised. However, some of the selection tools of non-book materials have been collected from different sources and provided below:

### 13.5.1 Microforms

Backfiles of newspapers, bibliographies, out-of-print materials and now some of the scientific journals are published in microforms. Some of the wellknown newspapers, like *New York Times*, *Washington Post* are issued in microfiche or microfilm besides in print form. Some of the technical and research reports are available in microfiche. Bibliographies and catalogues are produced in the Computer-Output-Microfilm (COM) forms. Some of the guides to microforms are given below:

- i) *Guide to Microforms in Print*, published by Meckler Publishers
- ii) *National Register of Microform Masters*, published by LC
- iii) *Microform market place* (It is an international directory of micropublishing, published by Meckler)
- iv) *Microform Review* (covers current and retrospective publications on microforms)

### 13.5.2 Audio-visual materials

Audio-visual materials are mainly useful in the field of education. There is a series of indexes published by US National Information Centre for Educational Media. The indexes are updated regularly. E.g.:

*Index to 16mm Educational films*

*Index to 35mm Educational filmstrips*

*Index to Educational Audiotapes*

*Index to Educational Slides*

*Index to Educational Videotapes*

*Index to 8mm Motion cartridges*

*Index to Overhead transparencies*

*Audio Video market place: a multimedia guide*. New York: R R Bowker, 1969 - (Annual)

*Guide to Micro-forms in subject print*. (London: Microform Review Inc., 1978)

The following journals also list audio-visual materials:

*Library Journal* (Bowker)

*School Library Journal* (Bowker)

*Wilson Library Bulletin*

### 13.5.3 Computer - based materials

Electronic publishing has gained importance in recent times with the development of computerised bibliographic databases in large numbers. Some of the sources which provide information on the products of these databases are:

*Computer-Readable Databases: A Directory and Data Source-Book*. Chicago : ALA, 1978 - (irregular)

*Database Directory*, White plains: Knowledge Industry Publications, 1984 - .

*CD-ROMS in Print: An International Guide*, compiled by Norman Desmarais. Westport: Meckler, 1991.

## 13.6 BOOK EXHIBITIONS AND BOOK FAIRS

### 13.6.1 Book Exhibitions

The Book Exhibitions are organised by booksellers to make known to the public the books available with them. The exhibition provides an opportunity to the libraries and also to the public to browse the books and select according to their needs. This is intended to push the sales of books which are lying idle with the booksellers. Book exhibitions are arranged generally on important occasions like conferences and seminars. This will be helpful for proper book selection and also promotion of sales from the point of view of book sellers.

### 13.6.2 Book Fairs

Book Fairs are national or international trade fairs where publishers trade with one another and exhibit their wares to book sellers. The main purpose of these fairs is to enable the publishers to show and promote their new books to their own trade.

Most of the Book Fairs are annual events. They are sometimes sponsored or supported by governments who are interested in their wider dissemination of their national literature for cultural or political purposes. However most book fairs are self supporting.

The use of book fairs both to sell books and to promote national interests is a post World war II phenomenon. Originally it was a gathering of the book trade to settle their accounts, booksellers with publishers and publishers with printers, which is now superseded by negotiations between publishers for the sale and purchase of rights in various language publications all over the world. Publishers from the USA, Europe, arrive at Frankfurt with specifications of their forthcoming books, looking for other publishers intending to bring out editions in their own languages. Frankfurt Book Fair is an important annual event in the international publishing world.

The extraordinary growth of book fairs can be attributed to the internationalisation of the publishing industries of Europe and United States looking more for export markets for income and to publish more books than expected at minimum cost through collaboration of publishers.

#### Self-Check Exercise - 3

What is the role of book fairs in book selection ?

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

ii) Compare your answer with the model answer given at the end of this unit.

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### 13.7 SUMMING UP

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There are various sources for proper and balanced selection of books in libraries. The following tools and methods are used to build up proper and balanced collection of books. All these sources have to be properly evaluated for selection of books keeping in view the fulfillment of the programmes and objectives of the library.

- 1) Booksellers and publishers catalogues
- 2) Trade Bibliographies
- 3) National Bibliographies
- 4) Subscription to book reviewing periodicals
- 5) Scanning of weekly editions of daily newspapers
- 6) By getting directly publishers' announcements and publishers' news bulletins about published titles
- 7) By attending exhibitions and book fairs
- 8) Conducting book clubs and obtaining readers' suggestions
- 9) Through exchange of accession lists of other libraries
- 10) Consultation of union catalogue of books

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### 13.8 MODEL ANSWERS TO SELF-CHECK EXERCISES

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1) The following book trade periodicals are useful in selecting books published in India:

- i) *Allied Book News*
- ii) *Indian Book Industry*
- iii) *Publishing in India*
- iv) *Book Talk*
- v) *D K Fortnight*

2) The entries in the classified part of *Indian Books in Print* are arranged by subject according to DDC scheme. Suitable feature headings and usual bibliographic information are provided.

3) The main purpose of book fairs is to enable the publishers and distributors to show and promote their new books. The book fairs also help for negotiations between publishers for the sale and purchase of rights of various language publications. The pre-publication announcements at book fairs help libraries to book their copies.

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### 13.9 RECOMMENDED BOOKS

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1. Batten, W.E. (ed) : *Handbook of Special Librarianship and Information Work*, 4th ed. p.72-84
2. Chakraborti, A : *A treatise on Book Selection*, p.289-93
3. Girja Kumar and Krishan Kumar : *Bibliography*, p.46-57
4. Job, M.M. : *Theory of Book Selection*, p.78-122
5. Kent, Allen (ed) : *Encyclopedia of Library and Information Science*, Vol. 2, p.682-86.

6. Mittal, R.L. : *Library Administration*. p.197-208  
7. Sengupta, B. : *Book selection*, p.119-79.  
8. Sharma, Chandrakant : *Book selection and bibliography*.

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### 13.10 ASSIGNMENT

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- 1) What are the various book selection tools or sources available and describe them briefly?
- 2) What are trade and national bibliographies and how they are useful in book selection ?

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## UNIT-14 : BOOK ACQUISITION PROCEDURES

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### Contents

- 14.0 Aims and Objectives
- 14.1 Introduction
- 14.2 Acquisition of Library Materials
- 14.3 Acquisition procedures
  - 14.3.1 Acquisition by Purchase
  - 14.3.2 Acquisition by Gifts/Donations
  - 14.3.3 Acquisition by Exchanges
  - 14.3.4 Cooperative Acquisitions
- 14.4 Acquisition procedures in Different Types of Libraries
  - 14.4.1 Public Library
  - 14.4.2 University Libraries
  - 14.4.3 Special Libraries
- 14.5 Acquisition of Non-Book Materials
- 14.6 Summing Up
- 14.7 Model Answers to Self-Check Exercises
- 14.8 Assignment
- 14.9 Recommended Books

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### 14.0 AIMS AND OBJECTIVES

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Library acquisition policies and procedures are designed to help the librarians, to tackle the problems that are encountered in selection and acquisition of library materials. The library should acquire and make available such books and other materials as are needed for the education, information, and research promotion and recreation. In this unit we discuss various acquisition procedures that are followed in various types of libraries.

After studying this unit you should be able to

- describe various book acquisition procedures;
- explain acquisition procedures used in different types of libraries;
- enumerate the problems encountered in the acquisition of non-book materials.

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### 14.1 INTRODUCTION

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The library collection of books, periodicals, pamphlets, documents, newspapers, maps, microfilm, microfiche and other materials should be provided and organized in such a way as to give strength and support to the educational programme of the college or university. It should be suitable for all levels of teaching and learning organised by the college and should keep the faculty members abreast of new research in their respective fields. Its contents should include great works of the related resources. All of these should be kept up-to-date as new works are regularly

produced. There should be books of popular nature for informative, recreational reading; and the reference collection should be rich in bibliography. Periodicals should be selected with care for covering all fields of interest to the college.

Normally the librarian should be responsible for building the collection. He, of course, will seek the help of the Faculty, Library Committee and subject experts in evaluating books and other resources to be bought. Generally, there should be a Faculty Advisory Committee to help formulate policy and procedure and develop collection, search for funds and resources and suggest ways of improving service in the library. The librarian should organize the library and keep such statistical records as will give a clear picture of its activities, acquisitions and use of the library. He should bring out annual report for official purposes.

The acquisition policy of a library should be set down with reference to the requirements (actual and potential) of the library of which it is a part. In the absence of a well defined acquisition policy, haphazard collection of materials unsuitable for the purpose is likely to result.

Book selection procedures differ from library to library, since the book resources, financial resources, reading habits, needs and demands of readers vary from library to library.

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## 14.2 ACQUISITION OF LIBRARY MATERIALS

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Library materials means all reading materials viz, conventional type of books, non-book materials, microforms gramophone records or discs or tapes or any other media on which matter is recorded and disseminated.

In India the academic libraries excepting those of universities possess only reading materials in the form of books, back volumes of journals and current periodicals. Other types of materials can be acquired and housed in different types of libraries for which they are established. However, for all types of libraries, the question of acquisition is the main problem.

Acquisition means the acquiring of reading materials. The acquisition may be by way of purchases, exchange or donation and gifts. As for the last two types exchange and donation the institute, may or may not accept them subject to its own policies and procedures. But acquisition by way of purchases is inevitable for any modern, up-to-date library. No library can acquire all the books that are published in the world. None the less, there is no need to acquire all since it depends upon the aim and the objective of the library and the purpose for which it is established. Acquisition of books in another way is called proper scientific and systematic selection of books. Book selection is many-sided and needs a certain amount of skill and knowledge.

As the Academic Library (School, College and University) is intended for secondary, undergraduate and post-graduate courses of study, to cater to the needs of the students as well as those of the teaching community respectively, it should confine itself only to acquiring the prescribed text-books according to the syllabus, the reference books and a minimum of basic source materials and a few bibliographies.

In the case of public libraries it is intended to cater to the needs of their clientele (general public within the vicinity of a library); and in the case of a special library it needs information on specifications and patents. Great importance has been attached by librarians to the acquisition of library books. According to Melvil Dewey's motto, the best reading is to be devised for the largest number at the least cost'. S.R. Ranganathan arrives at the principles of book selection in two different ways -by the empirical method which consist of field work in libraries and the

second one by which a prior approach relates to the judgement to be exercised in the selection of books either directly to the Five Laws of Library Science or to some principles, which are derivable from those Laws. Let us examine the various acquisition procedures of a library.

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### 14.3 ACQUISITION PROCEDURES

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Acquisition of library books is affected in three ways: i) Purchases, ii) Gifts/Donations, and iii) Exchanges.

#### 14.3.1 Acquisition by Purchase

Purchases occupy a major portion of book acquisition in libraries. The following methods are followed in purchasing books by libraries:

- a) Net Book Agreement/Tender System
- b) Quotations
- c) Appointing Approved Firms
- d) Books on Approval
- e) Dealer Library Plan (DLP)
- f) Standing Orders

Let us describe each of the items mentioned above.

##### (a) Net Book Agreement/Tender System:

Many systems of book purchase are prevalent in India and abroad. In the United Kingdom, a 'net book agreement' is in force. As per this the books are sold at the net published prices and no trade discount is allowed to the libraries. In India, a tender system is in vogue by which each list of required books is sent to various book sellers and the order placed with the firm offering the lowest quotation for each book. Through this system many librarians have faced many problems and experienced many hurdles in building the collection. They find it difficult to make use of funds of the library judiciously through the tender system within the given time and unutilized funds lapse after the stipulated period.

##### (b) Quotations:

In general, the acquisition policy and procedures depend upon the preferences of Heads of the institutions. The majority of the colleges do acquire books through their cooperative store, while a few colleges procure them from a local book shop by way of quotations. The reason for preferring cooperative stores for getting books is that they offer 15% discount, in general, on all types of book, while other firms offer only 10% discount on any book excluding postage. The colleges wish to have quotations with regards to the terms and conditions for the supply of books. But with a view to avoid audit objections and undue criticism, they prefer the cooperative stores for the supply of their requirements with the maximum discount ranging from 15% to 20%.

The quotation system, commonly followed in India, is inviting quotations for the supply of books at the beginning of the year, preferably prior to the commencement of the financial year. Various quotations with rates of conversion in the case of foreign books and the percentage of trade discount in the case of Indian books are invited from important book sellers of the country. Owing to import licence difficulties, it is deemed advisable to procure books through the Indian book sellers.

Another system followed by many important libraries of the country is the appointment of a vendor for a specified time, generally for a year or two or till he continues to supply the books efficiently and at the approved rates. All the quotations received are tabulated and the rates are got sanctioned by the competent authority. Books for libraries can be acquired when it is known that particular books are available in ready stock with particular book sellers, which can be ordered straightaway and in this way, unnecessary correspondence is avoided which is otherwise necessary. Books can be procured at competitive and, even sometimes, at lower rates.

Books can also be procured after ascertaining as to in which subject a book seller specialized and orders for books in the specific subjects can be placed with him directly. This saves a lot of time and energy.

#### **(c) Appointing Approved Firms:**

For the acquisition of books the financial resources of the college or university libraries, for example, is a primary factor and secondly, the judicious selection for proper use by the clientele. Great importance has been attached by librarians to the acquisitions of a library. Based upon the financial resources of a library a librarian has to assess the firm's suitability, in respect of supply, accuracy, timebound supply, honesty and previous experience, business reputation, turnover for the past few years, discount allowed, etc., and then such firms (book publishers, whole-sale dealers, book-sellers) have to be listed out and recommended to the approving authority for the appointment of approved firms for the library so as to effect the supply of books and other reading materials. These approved firms will be liable for termination of their services if the management is not satisfied for any reason. The approved firms should cover the supply of Indian and Foreign books and books in Indian languages too. The order will be placed by the librarian only with the approved firms. In case these firms express their inability to supply then the librarian can place orders with any other firm, since the materials are urgently required in the library.

#### **(d) Books on Approval:**

The publishers, book dealers and book sellers send books to the library through their agent or by mail for evaluation, physical verification and selection by the Departmental Heads on approval basis in the interest of their business. At times the agent will arrange book exhibitions and display current and the latest books. After the completion of such displays and exhibitions they will have to pack up and take away their unsold books for which they have to incur considerable expenditure and hence they request the Faculty members and librarians to go through the titles at their leisure and approve them if they are interested. This will take sufficient time, since the books have to be gone through by the subject specialists. The rejected books will be returned to the firms concerned at their cost. Sometimes, though the books are of interest to the department and worthy of being kept in the library the funds allotted to them might have been exhausted, in which case additional grants or spillover grant will have to be provided as a special case. Till such time the librarian will advise the book seller or publishers to leave the books in the library on approval basis. The librarian will take steps to get the funds or show some provision to meet the additional expenditure for purchasing such titles.

#### **(e) Dealer library plan (DLP)**

Dealer library plan is a mode of acquisition of books which is in practice mainly in developing countries. Under the Dealer library plan an agreement is to be reached between the library and the publisher or a group of publishers whereby the publisher sends books as soon as they are published to the concerned library on specified subjects, to select or reject them. Secondly, these

books will be sent immediately by the publishers to the library as soon as they are published until the agreement is revoked. For books to reach India from the U.K., U.S.A., etc., it will normally take 40-45 days. But the libraries can get books under Dealer library plan earlier than the book sellers and publishers.

**Advantages:** (1) The latest books published in the fields of interest are automatically received by the library within the shortest possible time.

2) The books so received can be read or consulted by the concerned experts to judge whether they are worthy for purchase for the library. Thus the plan, 'Dealer library plan' assists in selecting of suitable books for the library.

3) The books which are finally approved for the library are paid for in the local currency to the publishers or agents.

4) Book which are not approved for purchase can be returned to the local agent.

5) Freight charges (to and fro) are borne by publishers' agents. Thus there is no financial commitment on the part of the library either for receipt of books or for returning them to the agent.

**Disadvantages:** 1) At times the books which are not required for the library can be sent (shipped) because of human or mechanical error. If the experts of library, books selection authority who do not go through books, reject them for some reason or other the Dealer library plan will fail.

2) At times books shipped under this plan are lost in transit or received by the library much later than expected.

Although the advantages of the Dealer library plan outweighs the disadvantages, there is need of making a systematic study of this plan in several libraries with reference to its actual operation in order to realise fully its value and utility. Theoretically speaking, it is really advantageous but practically there are certain snags which have to be rectified in the Dealer library plan.

#### (f) Standing Orders:

The librarian can place standing orders direct with the publishers and dealers for such publications as sequentially published sets, viz, Annuals, Year books, Almanacs, Series, Gazetteers and Encyclopaedias expected to be published by specified date with a request to register the institution's name under the list of 'standing orders', so that as and when such materials are published they will be sent direct to the library and payment claimed. The advantage of this system is that the latest reference materials can be procured for the library without any loss of time; otherwise by the time we receive the information concerning such publication and place orders for them in the market, they may not be available; moreover we may have to correspond or search for the same with the book sellers. To avoid all such problems it is always advisable to place a standing order with the publisher for supply of the copies of books as and when they are published.

#### (g) Foreign Exchange:

Acquisition of foreign publications requires payment in the respective countries currencies for which foreign exchange is necessary. The Good Offices Committee, consisting of representatives of Ministry of Education, UGC, librarians and publishers, meet and fixes the conversion rate which is accepted by all. From time to time the monetary exchange rates will be naturally

subject to revision. The libraries will have to make payments according to the current exchange rates. The Government on request will direct the Reserve Bank to issue instructions for the announcement of conversion rates and arranges the libraries to get the foreign exchange for the required amount so as to effect payments.

### Self-Check Exercise-1

(a) What are the three modes of acquiring books in libraries ?

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

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

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(b) List the various methods of purchasing library books.

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### 14.3.2 Acquisition by Gifts/Donations

Gifts and Donations also form as an important supply of materials. Many big libraries particularly university and national libraries, have grown with gifts and donations. Gifts are a valuable source for enriching the library's book collection. They usually take the form of books, although donations of money for purchase of materials are sometimes made. Gifts frequently raises administrative problems involving the procedure of acceptance, technical processing and future cost. Often unworthy books also make their way into the library.

Most librarians prefer to accept only such gifts as have no strings attached. If this rule is followed, difficulties arising out of the donor's stipulation of restrictions can be avoided. For instance we may demand that no markings be put on the bindings or that the gift collection be kept intact as one unit. Again the library will be free to dispose of any titles which are duplicates in the library or discard any material which the library feels does not meet its standards of selection.

The librarian should be free to decide whether all or part of the gift should be integrated into the collection, discarded, exchanged or sold.

There may be cases where gifts can be an important source for the acquisition of rare, unusual or expensive items which the library with its limited budget cannot afford. It is also true that the offerings of gifts may include such material which would only prove a burden to the library. There are instances where libraries have on occasions refused a gift collection

because the cost of processing the materials exceeded the cost of the collection. Therefore it is necessary for every library to have a policy regarding the acceptance of gifts, without which needless duplication and expense in handling materials may occur.

When a gift is received from patrons of library or donors, it should be acknowledged promptly. Various forms may be used according to the importance of the material. The gift collections are often memorial in nature. The librarian should also be on the lookout for securing free materials from various sources. He can request the concerned authorities to include the library's name in the mailing list of various Government and private offices, organisations and institutions which send out free copies of their publications.

### Self-Check Exercise-2

What are the problems posed by gifts and donations ?

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

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

### 14.3.3 Acquisitions by Exchanges

Duplicate material tends to accumulate in every library. It is often categorised for the purpose of disposal: (1) discarded-books which are worn out and are only fit to be sold as waste paper; (2) duplicates which may be sold; (3) those which the library can exchange with some other library to acquire materials which it does not have. Exchange of publications is possible only if a library of its parent body has its own publication programme. In addition to official publications, annual reports and duplications, may be earmarked for exchange. Thus the exchange of publications with other institutions supplement the acquisition by purchase. The term "Exchanges", also refers to the process by which libraries connected with institutions which publish their own materials exchange them with those produced by other institutions (as for example, the exchange of one University's publications with those of another, which is done on a wide scale, national as well as international). It is important that business-like procedures for exchanges be formulated.

The United States Book Exchange (USBE) was established in 1948 as an outgrowth of the American Book Centre for war-devasted libraries. The United States Book Exchange acts as a pool for participating libraries who want to dispose of their duplicate materials of value to get in return other materials which they do not hold. It is the one centralised place where a participating library may send its duplicate materials with the least amount of labour and with the certainty that they be utilised in the best possible way. This service is proving to be an excellent means of exchanging materials at the national as well as international levels.

Exchanges may also be facilitated through dealers and through certain associations of special libraries such as the Medical Library Association, The American Association of Law Libraries and the American Theological Library Association. The Unesco's Library division also promotes international exchange and maintains a clearing house for publications which acts as a centre for information about the materials available for exchange. The *UNESCO Bulletin for Libraries* (now ceased) regularly included a section listing the materials available on exchange basis for foreign libraries.

### 14.3.4 Cooperative Acquisitions

The consideration of the question of the promotion of exchanges leads to a consideration of that of cooperative acquisition. It is only one step from the USBE and UNESCO'S efforts to facilitate exchange through cooperative efforts in the collecting of materials, making them available through the publication of union catalogues and storing little used materials in regional depositories. Most of the librarians have realised that no library can hope to acquire everything published in every field. The need for dividing responsibility for acquisitions in various subjects has become all the more pressing if a library printed a catalogue of a special collection it had, and distributed the copies of such catalogue it would bring its holding of such a collection to the notice of others.

Union Catalogues and inter-library loan through actual circulation of materials and reproduction of copies by photography have been developed in an attempt to make the best use of existing resources. Regional union catalogues have appeared across the country. Since micro-copying is expensive libraries have often worked out cooperative methods of purchase and use.

Cooperative acquisitions involving considerable number of libraries will facilitate joint purchase and shared ownership of selected materials without costly duplication of copies.

Cooperative Storage Libraries have appeared as a result of the rapid rate of increase in the size of research collections. These relieve the individual member library of the pressure of constantly increasing holdings and also provide a central collection upon which all members may draw for more research materials than any of them could hold. Cooperative Storage Libraries were first proposed about 1900 by William Coolidge Lane, Librarian of Harvard. His proposal was supported by president Eliot but opposed by the Faculty. As collections grow in size and as the range of materials published constantly increases the need for effective cooperation will grow ever more acute. This need can only be met through inter-library cooperation.

#### Self-Check Exercise-3

What is cooperative acquisition?

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

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

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## **14.4 ACQUISITION PROCEDURE IN DIFFERENT TYPES OF LIBRARIES**

The problem of procuring books and other reading materials for the libraries is both easy and difficult to tackle. It depends upon the nature and size of the library. A library for the purpose of enriching its book stock should not follow such blind methods of acquisition, as the placing of orders by going through the book seller's catalogue which does not indicate the condition of the book, the quality of paper used or the quality printing. In finding a solution of this problem the following three principles should be kept in view:

- 1) Type of Library. i.e, whether it is a public library or a university library or a private library for a particular reading circle.
- 2) The users whether they are highly educated persons, children or neo-literate people.
- 3) Library fund or grants.

### **14.4.1 Public Library**

It is obvious that the users of the public library are generally the people at large. But it is necessary to classify them according to the status, i.e, the class to which they belong (Whether they are labourers or workers who visit the library to refresh their mind and get relief from physical tiredness) and the kind of books which the people are interested in reading especially those residing in the surroundings of the library and who usually visit the library. Surveys should therefore be conducted, statistics collected of the people residing near the library. Taking those statistics into consideration the book procurement for the library should be undertaken.

Apart from what is indicated by the other statistics kinds of books may also be acquired and kept in the library. The library should specialise in certain areas of literature which will suit its readers. Religious books may be kept but not those that contain matter which is deliberately and maliciously intended to outrage the religious feelings and promote enmity between one section of citizens and another and which are punishable under the Indian Penal Code. Such books or documents containing copies, reprints, translations, or extracts from such books will be forfeited to the government.

### **14.4.2 The University Libraries**

The University Libraries are meant mainly for university students and faculty members. The materials acquired should include not only those required for higher studies and research but also those needed for general knowledge. The evaluation of books can be entrusted to the Faculty members of various disciplines and selections made on a priority basis by classifying them as urgent or ordinary.

### **14.4.3 Special Libraries**

The Special Libraries will have books and periodicals concerning only one subject in which they specialize e.g, Medical libraries, Engineering libraries, Islamic library, etc. They purchase only books pertaining to their special subject and they are mostly interested in promoting studies in that subject as far as they can. Government reports, patents and special documents published in this regard serve as the latest trends in the subject. Reviews, Abstracts, Indexes, and Bibliographies are some of the important materials procured for the advancement of research. Reading materials concerned with allotted subjects may also be acquired for these libraries.

The librarian has to use his discretion in allocating funds. The principle of equal distribution among the various faculties and year-wise expenditure of the funds has to be adopted by the librarian. These are some of the suggestions for the acquisition of books and the building of the library collection which will prove helpful in establishing a good library.

#### Self-Check Exercise-4

What are the three basic principles that are to be kept in view while procuring books for different types of libraries ?

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

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

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### 14.5 ACQUISITION OF NON-BOOK MATERIALS

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Non-Book materials include atlases, maps, logarithmic tables, globes, microforms, cassettes, discs, gramophone records, music scores, slides, etc. The origin of this new form of the book, namely, the microform, dates back to the year 1839. In that year John Benjamin Dancer, an optician and professional photographer, produced the first microphotograph. Microforms evolved into many types. These types can be classified into the following categories: (1) Microfilms, which were the first to be invented. They are normally available in 16 mm and 35mm width (2) Microfiche (3) Ultrafiche. Formulae, tables, graphs and illustrations produced by an electric typewriter which provide a camera ready copy. The main advantages and disadvantages of the microform are as follow:

#### ADVANTAGES

#### DISADVANTAGES

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| 1) A small space is required for stocking it.                    | 1) Increased subscription cost for the microform version of a journal. |
| 2) All stock held in the library at all times:                   | 2) Special equipment required.   |
| 3) No binding costs.   | 3) Possible customer reaction.   |
| 4) Lower floor weight loading.                                   | 4) The user cannot refer simultaneously to more than one document.     |
| 5) Automation of microform holdings possible                     |  |
| 6) Decreasing losses and wear; theft, mutilation are eliminated. |  |
| 7) Increase in house use of the library.                         |  |
| 8) Decreasing man power requirement at lower levels.             |  |

Microforms offer an alternative to book storage and help in solving the space problems in University libraries. It is proposed that only one print copy be purchased by one of the libraries and its microform copies be made available to other libraries. If the local libraries in an area cooperate in this way, the space problem may be solved to certain extent.

The IDC (Switzerland) has launched a massive programme for publishing rare and out of print books and backsets of periodicals published in India and other Asian countries in microform. They have also offered to supply a microfiche-reader provided that the total amount of the order exceeds the specified amount. Some institutions have prepared plans for microfilming some of their documents. Following are the institutions which are involved in this activity.

1. Nehru Memorial Museum and Library, New Delhi.
2. INSDOC, New Delhi.
3. BARC, Bombay.
4. National Archives of India, New Delhi.

A large collection of manuscripts is available in India's religious and research institutions. Manuscripts and newspapers are required by research scholars. Fortunately, the microfilming facility has been extended to some of these institutions which has benefited the scholars.

The potential and the widely increasing use of Microform is possible only if the UGC provides substantial grants to the University Libraries for procuring the required microforms and reading equipments.

Microforms are one of the sophisticated communication media of the present century adopted for the transfer of information of different types of documents, as the microforms are produced by using microphotographic technique; they are also known as Micrographics. Indian libraries must be prepared to acquire and maintain microform collections in addition to hard copy collections, if they want to serve the readers effectively.

The most significant part of microforms acquisitional work is that which involves planned selection of material, the placing of orders with reliable firms, thorough checking of the material received and careful preparation of the budget to strengthen the Library resources for instruction and research.

#### **Types of Non-Book Materials**

**Microform:** The back numbers of periodicals and serial titles are available in microform and the collection of microform materials is necessary for research. Many important collections that extend the research capabilities of the library have to be acquired. The subscriptions to microform collections such as the ERIC and HRAF newspaper and periodicals should be a continuous process in the University Libraries.

**Music Scores:** The library collects only study scores; performing scores are collected by the Music Department. The collection will prove helpful in the implementation of the music programme at the university. It must also obtain records of plays, poetry and other documentaries in future. The tape cassette preparation section may occupy considerable space in the library but will strengthen its audiovisual capabilities.

**Slides:** The library has to develop a collection of slides, especially art slides. Difficulties in processing the material (cataloguing, mounting, marking, etc) as well as the lack of space for good viewing have come in the way of undertaking a large scale programme in this record.

**Video Cassettes:** These also form A.V. Programme. The information available in this format is also most useful to the users.

### Self-Check Exercise

What are the disadvantages of microforms ?

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

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

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## 14.6 SUMMING UP

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To sum up acquisition policies and procedures vary from one type of library to another. Technological advances have played a great role in the fashioning of libraries. On account of the proliferation of world literature, it is impossible for any library to procure all the desired books, since it has limited space, and limited funds and has to reckon with high costs of maintenance. Hence, Microforms of literature will replace Bookforms though not completely. But the rare and out-of-print books, back numbers of periodicals, newspapers, manuscripts, reports and reprints, theses and dissertations can be brought out in Microform. The Inter-Library Loans, printed Catalogues, and Union Catalogues can be microfilmed and sent to the participating libraries. The non-book materials, apart from the microforms, include Maps, Atlases, Charts, Globes, Cassettes, Gramophone Records, Film Strips and other audio-visual aids which are essential for the purpose of educating both literates and illiterates.

The U.G.C should be liberal in providing grants for special equipment and non-book materials as the libraries are an integral part of higher-education. INSDOC and IASLIC organisations should take up the responsibility of formulating policies and procedures for the acquisition of Microforms and other non-book materials in India and a method to develop our libraries on the same basis as libraries in foreign countries are developed. The necessary training should also be given to the librarians to make use of these new inventions and the required information should be disseminated through Microforms and other audio-visual aids for the advancement of research and higher education in the Universities. Such a programme of action has to be followed in respect of special and private libraries, and some of the regional and public libraries in the cities. To achieve this desired goal the 'Trio' librarians, readers, and reading materials in the libraries-are to be taken into account and adequate funds are provided to the libraries.

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## 14.7 MODEL ANSWERS TO SELF-CHECK EXERCISES

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- 1 (a) The three modes of acquiring books in libraries are i) By purchase, ii) By gifts/donations, and iii) By exchange.

- b. The methods of purchasing library books are
- i) Net book agreement/Tender system.
  - ii) Quotations
  - iii) Appointing approved firms
  - iv) Books on approval
  - v) Dealer library plan
  - vi) Standing order
- 2) Gifts frequently raise certain administrative problems such as i) procedures of acceptance, ii) technical processing, and iii) future cost of maintenance as unworthy books may often make their way into the libraries.
- 3) Two or more libraries coming together and jointly purchasing the selected items of demand and providing a central collection upon which all members may share.
- 4) The following are the three basic principles to be kept in view while making purchases:
- i) Type of library and the particular reading circle;
  - ii) Level of education of the users
  - iii) Library funds or grants
- 5) The disadvantages of microforms are -
- i) Additional subscription cost for the microform version of a journal, (if supplemented)
  - ii) Special equipment requirement
  - iii) Possible customer reaction
  - iv) More than one document cannot be referred simultaneously.

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#### 14.8 ASSIGNMENT

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1. The acquisition policies and procedures should satisfy the Fifth law of Library Science - Discuss.
2. The acquisition procedures vary from one type of library to that of another ?- Explain.
3. Explain the acquisition methods for the purchase of reading materials and the acquisition of books through exchanges, donations and gifts to the library.
4. Describe the acquisition policies and procedures adopted for Non-Book Materials in the Library.
5. Microforms offer an alternative to Book storage and a solution to the space problem in University Libraries? - Discuss.

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#### 14.9 RECOMMENDED BOOKS

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- CARTER and Bonk. *Building library collections*. New York: The Scarecrow press, 1959.
- MITTAL, R.L. *Library Administration*, 5th ed. New Delhi: Metropolitan Book Co, 1984.

# UNIT-15 : BOOK PUBLISHING AND BOOK TRADE IN INDIA

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## Contents

- 15.0 Aims and Objectives
- 15.1 Introduction
- 15.2 Book Publishing in India
- 15.3 Book Promotion and Export
  - 15.3.1 National Book Development Council
  - 15.3.2 National Book Policy
  - 15.3.3 Copyright
  - 15.3.4 Raja Rammohan Roy National Agency for ISBN
  - 15.3.5 National Book Trust (NBT)
  - 15.3.6 Book Fairs and Exhibitions
  - 15.3.7 Export and Import of Books
- 15.4 Book Trade
  - 15.4.1 Representatives of Foreign Publishers
  - 15.4.2 Wholesale Suppliers
  - 15.4.3 Independent Importers
  - 15.4.4 Direct Import
  - 15.4.5 Approval Method
  - 15.4.6 Ethics of Book Trade
- 15.5 Summing Up
- 15.6 Model Answers to Self-Check Exercises
- 15.7 Assignment
- 15.8 Recommended Books

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## 15.0 AIMS AND OBJECTIVES

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This Unit aims to bring to your notice that state of the book publishing and book trade in India and how they effect the building of a balanced library collection.

After studying this unit, you should be able to

- explain the need for knowing about the book publishing and book trade in India;
- describe book publishing in India;
- grasp the nature of booksellers in India;
- appreciate various book promotion activities undertaken by Government Agencies.

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## 15.1 INTRODUCTION

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In university and special libraries, the type of documents that are to be procured are varied and in several cases, hard to obtain the requisite titles. Unless the librarian knows how to obtain the titles demanded by the faculty and research scholars, he is likely to incur the displeasure

of the faculty and also at the same time he will be failing in his duty to supply what is actually needed for teaching and research. Books are to be procured not only in English language but in several other languages. In a university 12 to 15 languages are taught and the university library has to procure books in French, German, Russian, Sanskrit, Hindi, Telugu, etc. Most of these languages have fulfilled departments in the universities. In addition there are another 30 to 35 departments in the field of science, social sciences, humanities, engineering, law, etc.

To build up a balanced and up-to-date collection of books, the librarian must have a sound knowledge of the book trade industry of the country. As librarians have to mainly depend on publishers and booksellers, he must have a good rapport with the trade, sound knowledge of international, national and local institutions of the book trade. The libraries which have huge funds to spend on different subjects and on different languages have additional responsibility of spending the grant judiciously. It is specially true in case of university libraries in India. They get substantial grants both from their own universities as well as from the University Grants Commission (UGC). In several cases the grants are to be spent within a specific period of time, failing which the amount lapses.

### Self-Check Exercise-1

What is the need for librarians knowing about book trade?

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

ii) Compare your answer with the model answer given at the end of this unit.

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## 15.2 BOOK PUBLISHING IN INDIA

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Book publishing is an activity that involves preparation and marketing of printed matter. The process of book publishing is a complex activity and depends on the team work of a wide range of professionals like authors, editors, publishers, book designers, illustrators, book binders and also booksellers. The end product is book and is used by individual readers directly or through libraries.

The first book in India was known to have printed in 1557 by Jesuit Missionary. During the British rule the limited requirements of educational books and general reading were met by British publishers. Only after Independence Indian publishing industry came of its own. The increase in the literacy rate, growth of educational and research institutions, establishment of scientific and technical institutions, etc are some of the important factors which helped growth of Indian book industry.

India is one of the world's leading publishers of books. It occupies the eighth place after USA, USSR, Germany, Japan, UK, France and Spain. India is the third largest producing country of books in English and the largest in the Third World in terms of total book production. There are at present about 7000 publishers in India producing around 25,000 titles annually.

Having nearly 15 per cent of the world's population (850 million in 1991), India accounts for barely 3 per cent of the world's book titles. According to Unesco Statistical Yearbook (1993), the total number of titles published worldwide in 1991 is 863,000.

Approximately 45 per cent of the titles published in India are in English and the balance in different regional languages. Among the regional language publications, books in Hindi, Bengali, Tamil and Marathi occupy the major part.

Subjectwise grouping of Indian publications indicate that more than a third of the total output is literature, followed by social science (25 per cent), science & technology (12 per cent) and religion (8 per cent).

Among the States, Delhi produces the maximum number of titles and the other states like West Bengal, Maharashtra, Tamil Nadu, Uttar Pradesh, Kerala and Karnataka with more than a thousand titles each.

The significant characteristic of Indian book production is 90 per cent educational publications and only 10 per cent entertainment/ leisure literature. The production of school text books has been nationalised and State-owned book production agencies receive huge subsidies from the governments for the production of university level books in regional languages. For example, the Telugu Akademi publishes books in Telugu for undergraduate and post-graduate level courses offered by the Intermediate Board and the universities in Andhra Pradesh.

Indian publishers rarely venture to publish research documents as such publications have restricted market. The result is many of the research findings do not see the light of the day and the work produced is actually loss to the country. Few scholars publish on their own but the percentage is very low. Publishers are mainly concerned whether they are in a position to recover their investment and hence go only for popular type of books or textbooks where they are assured of profit. However, in recent years there is a spurt in the publication of doctoral theses with the financial assistance from the UGC and other agencies.

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## 15.3 BOOK PROMOTION AND EXPORT

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The Government have been promoting book publishing and trade through various activities. Some of them include constitution of National Book Development Council (NBDC), amendment of copyright act, establishment of National Book Trust (NBT), setting up of Raja Ramohan Roy National Agency for allocation of ISBN and organisation of book fairs and book exhibition.

### 15.3.1 National Book Development Council (NBDC)

The book industry in India is a large complex organisation and needs the support and cooperation of the governmental agencies like Ministries - Human Resource Development, Commerce, Industry, Finance, etc for its development. To stimulate and coordinate the production and distribution of books on sound line it was felt ever since Independence a need for a central agency. Such an agency was set up in 1967 and was called National Book Development Board. The Board was advisory in nature. It was entrusted to lay down guidelines for the development of book industry and trade. The Board worked for two terms, i.e., till 1974 and became defunct. The need for revival of the Board was felt when the Unesco has given encouragement to the establishment of national book development councils to promote and develop book publishing in developing countries. The Government revived the Board under the name 'National Book Development Council' in 1983.

The National Book Development Council (NBDC) was entrusted with drafting a national book policy. After four-year term, the Council was also expired in 1988. Again in 1990, the Council has been reconstituted with the aims to review the progress of book publications in the country; to advise the government regarding the measures to be taken for the development of publishing industry and trade; to promote the availability of special purpose books of good quality, etc.

### 15.3.2 National Book Policy

The National Book Policy drafted by the National Book Development Council made wide-ranging recommendations for the promotion of book industry in India. Some of the important recommendations are-

- i) Production of quality literature at all levels of education, particularly in Indian languages;
- ii) Encouraging authorship, especially in Indian languages;
- iii) Promotion of the reading habit, specially among children;
- iv) Promoting literature especially relevant to children and rural illiterates;
- v) Removal of constraints in the development of indigenous authorship and provision of adequate infrastructural facilities for book production and distribution, including imports and exports;
- vi) Organising seminars, workshops and training courses for book industry personnel;
- vii) Undertaking and promoting research studies and special projects; and
- viii) Encouraging Indian authors to write suitable text books and Indian publishers to publish books, particularly in scientific and technical disciplines for higher education.

The above recommendations are to be approved by the Government.

### Self-Check Exercise-2

What are the aims and objectives of National Book Development Council (NBDC) reconstituted in 1990?

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

ii) Compare your answer with the model answer given at the end of this unit.

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### 15.3.3 Copyright Protection

Copyright protection in India is governed by Copyright Act, 1957. The Copyright Act has been amended thrice in 1983, 1984 and 1992. By the latest amendment in 1992, the term of copyright has been extended from 50 to 60 years.

The Copyright office registers the following classes of works: i) Literary Dramatic, ii) Musical and Records, iii) Cinematographic films, and iv) Artistic works.

The Copyright board, a quasi-judicial body was constituted in 1958 (reconstituted in 1990). It hears the cases and disputes and also grants the licences.

India is a member of two international conventions on copyright, namely, **Berne Convention** for the protection of literary and artistic works and the **Universal Copyright Convention**. The special provisions of these conventions enable the developing countries to issue compulsory licences for reproduction and translation of books of foreign origin for specific purposes in case these rights could not be obtained freely on negotiated terms from the owners of copyright. The World Intellectual Property Organisation (WIPO), Geneva is the International Secretariat for the Berne Convention for the protection of literary and artistic works.

#### **15.3.4 Raja Ramohan Roy National Agency for ISBN**

The International Standard Book Number (ISBN) plays a vital role in promoting publications. The ISBN system was introduced in India in 1985. It is an international system by which a distinct identifying number is assigned to each book. This Code indicates the subject, title, publisher and country of the publication. It is very helpful to deal the books with ISBN, so many booksellers, library/ information systems prefer this system. The Raja Rammohan Roy Educational Resources Centre, New Delhi has been entrusted with assigning ISBN to Indian publications. Till December 1992, about 1712 big and small publishers and authors in India have become the members of the system and thousands of their publications today bear the ISBN.

#### **15.3.5 National Book Trust, (India)**

The National Book Trust (NBT), India, is an autonomous organisation set up in 1957 under then Ministry of Education, (now Department of Education, Ministry of Human Resource Development). The NBT plays a significant role in book promotion programmes.

The objectives of NBT are -

- to produce and encourage production of good reading material at moderate prices; and
- to foster book mindedness among the people.

The activities of NBT broadly are -

- to publish books;
- to provide assistance to authors, illustrators and publishers; and
- to promote books through exhibitions and fairs.

The Trust publishes low-priced books on a variety of subjects including physical environment and culture of India, folklore, popular science, biographies and books for children, adults and neo-literates. The Trust has published over 6,000 titles in 13 languages. NBT also organises book fairs and exhibitions, seminars and workshops to promote books publishing industry in India.

### Self-Check Exercise-3

List any three major activities of NBT of India.

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

ii) Compare your answer with the model answer given at the end of this unit.

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### 15.3.6 Book Fairs and Exhibitions

Book fairs and exhibitions of various dimensions are held in many countries. These book fairs and exhibitions generally aim at -

- exposing the books and publications in the local, state, national and world market;
- interacting with the national or international community engaged in preparation, production and marketing of books;
- boosting the export market for books and to offer on-the-spot facilities to publishers from home and abroad for negotiating the buying and selling rights for co-production or reprints or translations.

The book fairs and exhibitions are a market place for authors, publishers, artists, book binders, printers, book-sellers and exporters and librarians. Some major publishers transact almost 50 per cent of their annual turnover at the book fairs.

The following international book fairs have achieved great significance in the recent past:

- i) The International Frankfurt Book Fair
- ii) London International Book Fair
- iii) International Book Fair, Moscow
- iv) International Book Fair, Cairo
- v) Singapore Festival of Books and Book Fair
- vi) Beijing International Book Fair
- vii) Malaysia Book Fair
- viii) ABA Trade Exhibit, USA
- ix) New Delhi World Book Fair

Besides the above regular annual/biennial book fairs the book fairs held in Hannover (FRG), Paris (France), Geneva (Switzerland), Madrid (Spain), Belgrade (Yugoslavia), Baghdad (Iraq), Manila (Phillippines) and the Children's Book Fair, Bologna (Italy) have acclaimed popularity throughout the world. NBT, India has been participating in the international book fairs since 1969.

The Frankfurt Book Fair is the biggest annual book show in the world. Every alternate year, it chooses a particular theme associated with publishing, literary heritage and book development. In 1986, "India - Change in Continuity" was the theme of the Frankfurt Book Fair. India's ancient culture and civilization side by side with its continuity in development were exposed to the Western world.

The New Delhi World Book Fair is a ten-day event which is organised every alternate year by NBT, India. It was started in the year 1972 to mark the year as International Book Year. The eleventh World Book Fair was held in January 1994. The Fair attracts large number of leading publishers from India as well as from other countries, such as USA, UK, Europe, West Asia, Arab countries, Nepal, Bangladesh and Pakistan. At the venue of the Fair, books are sold directly to the clients and a number of booksellers, librarians, individual buyers and general visitors are attracted to the Fair.

The New Delhi Book Fair also offers a platform for the exchange of views on publishing and allied topics. A number of seminars, symposia, workshops, etc are organised. Federation of Indian Publishers (FIP), Authors Guild of India, Indian Library Association, Raja Rammohan Roy Library Foundation, NCERT and Government of India also hold their conferences during the period of the Fair on the topics related to book promotion.

The Festivals of India are celebrated in major countries of the world since 1981 to expose Indian art and culture. To mark the occasion a number of cultural, literary and religious functions are organised to project the image of India. As a part of these Festivals book exhibitions were also organised in France and USSR.

### 15.3.7 Export and Import of Books

India exports books to 80 countries of the world. The largest buyers of Indian books are the UK, the USA, Japan and West Germany. Nearly 60 per cent of our country's exported books are going to only ten countries and it is not even one per cent of the total world export of books. India earned Rs.50 crores of foreign exchange through book exports in 1992-93.

The publications on Indian philosophy, religion, yoga, culture and ancient classics, history, natural sciences and current topics are exported to Western countries. Children's literature has a good market in Singapore, Malaysia, Kenya, Nigeria, Fiji, Mauritius and West Indies. Nearly 75 per cent of these exported books are in English language. Books in various Indian languages like Hindi, Urdu, Bengali, Punjabi, Gujarathi, Tamil and Malayalam are in great demand in those countries where Indians are settled.

The book export in India is looked after by the Chemical and Allied Export Promotion Council (CAPEXIL). The CAPEXIL was established in 1960 at the joint instance of Government of India and the Traders and Manufacturers for the export promotion of Indian Chemical and Allied Products. CAPEXIL'S Book Division was set up in 1981 at New Delhi for the promotion of book exports. It helps the Indian publishers/exporters, in collaboration with the NBT, India, to participate in various important international book fairs and exhibitions. The Government of India also encourages export of Indian publications by giving incentives.

However, imported books outnumber the indigenous books. The ratio of export to import of books comes to nearly 1:10. The cost of these imported foreign books runs into millions of US dollars and pound Sterlings.

The Government of India has always had a liberal book import policy for the import of books/publications on educational, scientific and technical subjects. Import of such books and journals, news magazines and newspapers is allowed under Open General Licence (OGL) by all persons. To ensure that this policy does not work to the detriment of the indigenous publishing industry a quantitative restriction of 1000 copies of each title per importer per year has been prescribed. But the recent policy announced by the Ministry of Commerce (with effect from 1st April 1992) has excluded such a restriction. The present Import Policy of OGL permits under quota licences, any title irrespective of its quality and utility can be imported as many number of copies as are required by a distributor.

This results in importing the sub-standard books which are discarded within a year or so, in Europe and the US and called "remainders". These titles are purchased at very nominal price by importers and sold to libraries in India at printed prices at a 10 per cent discount. Such a practice needs to be discouraged.

#### Self-Check Exercise-4

How CAPEXIL helps in promoting book exports ?

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

ii) Compare your answer with the model answer given at the end of this unit.

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### 15.4 BOOK TRADE IN INDIA

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Book distribution in India is a very complex business. The distribution network consists of whole-sale distributors concentrated mainly in four metropolitan cities - Delhi, Bombay, Calcutta and Madras. Other cities and towns have a moderate book distribution system, while the rural areas have hardly any facilities for book trade. Most of the regional language publishers operate on a small-scale because of their limited resources and meagre readership. A good percentage of books published are sold to wholesalers and retail booksellers. Librarians and book clubs purchase them through different modes.

A book distributor takes about 40-50 per cent discount on the printed price from the publisher and offers 20-25 per cent discount to retailers and booksellers. The retailers and booksellers in turn give 10 per cent discount to the libraries and varying per cent of discount to the readers. Unlike Western countries Indian publishers and distributors have to mainly depend on sale to libraries. Individual purchases in our country is negligible and in recent years the publishers mark the price three to four times the cost of production, so that even with a limited number of sale, they are assured of recovering their investment as early as possible.

Indian booksellers can be broadly categorised under the following headings :

- (i) Representatives of Foreign Publishers
- (ii) Wholesale suppliers who import books from a restricted number of foreign publishers
- (iii) Booksellers who import books from any publisher abroad
- (iv) Retail booksellers who mainly depend on (1) and (2) above
- (v) Booksellers without any base

#### **15.4.1 Representatives of Foreign Publishers**

Few Foreign publishers have their offices in India but their number is negligible compared with the total number of publishers. Some publishers appoint their representatives or agents. The agents usually have sole rights for sale of books whom they represent. Books of such publishers who have offices in India or who have sole agents, Indian libraries have to mainly depend on them. But the experience is, Indian representatives do not keep all the stock. Old publications are hardly available and they import restricted number of new titles and once they are sold, the libraries will have to wait for months together without any definite assurance of supply.

There are another type of booksellers who are stockists. Some foreign publishers instead of appointing any one as sole agent, they give the right to many booksellers to stock their publications. Booksellers get limited credit from the foreign publishers and if the payment from Indian booksellers is not prompt, the publishers stop further supplies. The result is when orders are placed with such booksellers, naturally supply is doubtful.

#### **15.4.2 Wholesale Suppliers**

The representatives, agents and stockists of foreign books are not expected to sell books directly to the libraries. They are expected to route through booksellers. This is not being observed now by majority of the stockists. Libraries can get books directly from the representatives or wholesale stockists. Only in case of agents, they do not keep any stock. Their work is to promote the sale of books of publishers whom they represent as agents. Agents usually contact wholesale stockists and not individual libraries or booksellers. However, they supply publishers catalogues and announcements of forthcoming books. They also give information to libraries from which Indian wholesalers books can be procured. Some of the Indian wholesalers have branches in major cities, specially they are concentrated in Delhi, Bombay, Madras and Bangalore.

Some wholesalers specialise in few subjects. They do not deal in all types of books. For example, there are wholesalers who specialize only in law books or medical books. Librarians must have a knowledge of such booksellers in case their needs are restricted to few such subjects. In this category even there are retail booksellers who specialize in few subjects. They may be dealing in some allied subjects also, but they are more knowledgeable in their specialization.

#### **15.4.3 Independent Importers**

Compared to the total number of publishers, their representatives in our country is a very small fraction. In addition to the commercial publishers, there are several associations, societies and institutions who also publish books at irregular intervals. There are several other publications which are hard to obtain. Some booksellers in our country obtain books from any publisher abroad. Either they have direct contact with the publishers or they have their agents abroad. In USA, and UK there are export firms who act as agents for booksellers abroad. These firms are

better equipped to procure books from their own country and export abroad. Individual Indian booksellers who are not tagged as representatives of any firms take advantage of these agents. One drawback in such cases is it is likely to take more time for supply.

#### **15.4.4 Direct Import**

One question often raised is why libraries cannot directly import books. There is no bar to import books directly and no licence is required and there is no liability to effect foreign payment. Any bank dealing in foreign exchange will arrange payment. The banks will obtain the Reserve Bank permission to remit the money in the currency of the country concerned. But there are several difficulties:

- 1) Foreign commercial publishers usually do not sell directly to libraries.
- 2) We have to appoint an agent in the country of import
- 3) Foreign publishers and many agents or booksellers do not give any discount.
- 4) We will have to pay the postage and insurance charges
- 5) Some booksellers ask for advance payment
- 6) Foreign correspondence works out costly.

If there are Indian booksellers who can give good service, procuring books in the country works out cheaper. Only in case of society or other institutional publications direct order is preferred because booksellers are not interested to import such publications. In several cases booksellers themselves do not get any discount from society or institutional publications, but instead they have to make prepayment and as such Indian booksellers are not keen to import such books.

It will be advantageous for Indian libraries to depend on independent importers who are prepared to supply almost all the books. Hence it is better to select three or four such importers provided they adhere to the terms and conditions set out by the Good Offices Committee.

#### **15.4.5 Approval Method**

In the last ten years there is a large number of mushroom booksellers sprung up in the country. They do not have any base or knowledge of the book trade or publishing industry. They work more as jobbers, select some books from wholesalers or publisher's representatives and take round to the libraries on approval basis. Approved books they bill and return the rest from where they have selected. They cannot independently supply books with the result libraries have great disadvantage. As easy to obtain books are purchased from such jobbers, the independent importers do not oblige to procure hard to obtain books. There is a greater danger to this type of approval method. The departments, committees, or individuals who usually recommended books for purchase fall a prey to the books brought on approval. Ultimately many good books are not added to the library as the grants get exhausted by the books selected on approval basis.

#### **15.4.6 Ethics of the Book Trade**

There was considerable difficulty in procuring foreign books due to various reasons. The greatest bottleneck was exchange rate of foreign currencies. There was no uniform rate of conversion and no uniformity in discount. To get over these difficulties a committee was formed consisting of library profession, publishers and booksellers, representatives from University Grants Commission and observers from Ministry of Education, Government of India. This committee is called 'Good Offices Committee'. The committee functions as stated in their circular quoted below:

*The Good Offices Committee is a voluntary organisation formed to establish uniform terms of book supplies to libraries, and to ensure a fair working margin to booksellers and an efficient service to the libraries. The committee meets at regular intervals and after taking into consideration the fluctuations in the currency rates, decides on the rates of conversion governing the sale of books and periodicals...*

The Ministry of Finance vide their letter No.F23(7)-E.II(A)83 dated 7-2-1984 have made changes in the General Financial Rules which dispense with the necessity of calling for tenders or quotations. In spite of such recommendations some booksellers tempt by offering extra discount. Such booksellers only corner the orders and supply only such books where they get more profit and ignore the rest. This unhealthy practice in the trade brings several hurdles in the smooth procurement of books.

Buying at the end of the financial year is a direct offshoot of the malady of placing orders with firms who tempt of offering more discount. As those booksellers are not able to fulfill the orders, the grants remain unspent with the result there is a spree to buy books at the fag end of the financial year. This unhealthy practice of buying anything at the last minute the library will be stocking unwanted books and wasting its meagre financial resources. If the libraries stick to the book selection policies and order the books well in advance with reputed booksellers, they will be doing yeomen service to the organisation where they are a part.

### Self-Check Exercise - 5

What are the functions of the GOC ?

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

ii) Compare your answer with the model answers given at the end of this unit.

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### 15.5 SUMMING UP

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In this unit we have discussed the state of book publishing and book trade in India and examined how they affect the building up of a balanced library collection. The major items covered in this unit are book publishing in India, book promotion activities of the Government through National Book Trust, Book Fairs and Exhibitions, Copyright protection, allocation of ISBN to Indian books by Raja Rammohan Roy Educational Resources Centre, New Delhi, framing of National Book Policy by Natinal Book Development council, etc. Export and import of books and book distribution systems are also explained. And finally booksellers in India are classified into five categories as i) Representatives of foreign publishers; ii) Wholesale suppliers who import books from a restricted number of foreign publishers; iii) Booksellers who import books from any publishers abroad; iv) Retail booksellers, who mainly depend on (1) and (ii), and v) Booksellers without any base.

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## 15.6 MODEL ANSWERS TO SELF-CHECK EXERCISES

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- 1) Librarians have to depend on booksellers and publishing industry for building a balanced collection of books and other publications. He has to spend huge amounts judiciously on books and non-book material. Therefore he should have a sound knowledge on international, national and local book trade.
- 2) The aims and objectives of National Book Development Council (NBDC) reconstituted in 1990 are -
  - to review the progress of book publications in the country;
  - to advise the Government regarding measures to be taken for the development of publishing industry and trade;
  - to promote the availability of special purpose books of good quality, etc.
- 3) The major activities of National Book Trust (NBT), India are -
  - i) Publishing low-priced books on a variety of subjects for children, adults and neo-literates;
  - ii) Providing financial assistance to authors, illustrators and publishers;
  - iii) Organising book fairs and exhibitions, etc.
- 4) The book export in India is looked after by the Chemical and Allied Export Promotion Council (CAPEXIL). CAPEXIL's Book Division, in collaboration with NBT, helps the Indian publishers and exporters to participate in various important international book fairs. It also assists in identifying prospective markets for Indian publications.
- 5) The Good Offices Committee (GOC) is voluntary organisation formed to establish uniform terms of book supply to libraries and to ensure a fair working margin to booksellers and an efficient service to libraries. The GOC decides the rates of currency in order to facilitate the sale books and periodicals.

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## 15.7 ASSIGNMENT

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- 1) Write a short description on book publishing in India,
- 2) What should be the basis of selecting booksellers in our country?
- 3) Do you prefer higher discount or better service ? Discuss.
- 4) Describe briefly various book promotion activities supported by Government.

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## 15.8 RECOMMENDED BOOKS

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- 1) **EXPORT of Indian books: Promotion and marketing**, edited by K.K. Kaul. New Delhi : Institute of Book Publishing, 1989.
- 2) **MITTAL, R.L. Library administration : Theory and practice**. New Delhi : Metropolitan, 1984. pp. 725-760.

- 3) NARENDRA Kumar. "Book Publishing: Problems and prospects." *Grantha* 3 (1) Jan 1992. pp.7-28.
- 4) PEARCE, Douglas. *Textbook production in developing countries*. Paris : Unesco, 1982.
- 5) SATYANARAYANA, P. and M. Yadagiri Reddy. "Promoting the reading habit." *Indian Book Industry* XLII (3) June 1990. pp.8 - 9.

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## UNIT-16 : PROCESSING OF BOOK - PHYSICAL AND TECHNICAL

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### Contents

- 16.0 Aims and Objectives
- 16.1 Introduction
- 16.2 Accessioning process
  - 16.2.1 Accessioning work
  - 16.2.2 Accessioning Records
- 16.3 Technical Processing
  - 16.3.1 Receipt of Books in Technical Section
  - 16.3.2 Physical preparation of Books in Technical Section
  - 16.3.3 Classification and Cataloguing
  - 16.3.4 Self List Card
  - 16.3.5 Tools required in Technical Section
  - 16.3.6 Reclassification and Recataloguing
  - 16.3.7 Final Processing
- 16.4 Filing of Catalogue Cards
- 16.5 Preparation of Recent Additions List
- 16.6 Summing Up
- 16.7 Answers to Self-Check Exercises
- 16.8 Assignments
- 16.9 Recommended Books

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### 16.0 AIM AND OBJECTIVES

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This unit aims to explain the importance and purpose of Accessioning of reading materials in the libraries with special reference to receipt of ordered books, the registering of various particulars of books in the Accession Register and the passing of bills and the process involved in the Technical Section.

After studying this unit, you should be able to

- explain the meaning and functions of accessioning;
- describe the process involved in the receipt of ordered books, price verification, passing of bills and collation;
- register various particulars of books in the Accession Register;
- describe various processes involved in Technical Section for preparing books for use in libraries.

## 16.1 INTRODUCTION

Generally, readers have got a very vague idea about the importance of technical services such as acquiring, preparing (Accessioning, Classification and cataloguing processes) and preserving the reading materials in a library, since they do not have any chance to watch and examine the technical aspect of the working of library, but it is beyond doubt that technical services are essential for carrying out any library activity successfully. This has become of late all the more important because the work relating to the ordering of books and receipt of books etc., has become complex. Once the books are received in the library, the Acquisition section should direct the person concerned, who has been assigned the job of accessioning, to check and tally with the bills received duly arranging the books as per the serial order of list in the Bill so as to assign the serial number of the stock.

## 16.2 ACCESSIONING PROCESS

Accessioning is the act of adding and in libraries it means the assigning of a copy identification number to each volume or any other form of library in which all the books purchased/ received in exchange of or as gift are entered. Each book is given a consecutive serial number. This register is known as 'Accession Register' and the serial number is called 'Accession Number'.

### 16.2.1 Accessioning Work

A sequence of technical formalities have to be gone through before a book acquired for the library goes into the live collection for release to the reader. Accessioning is an important part of the technical work and forms a permanent record needed to find out the stock position of the library at any time. The Assistant in-charge of accessioning arranges the books in the same order in which the books are listed in the bill and enters them in the Accession register serially.

Accessioning is that part of the work of a library whereby every book to be included in the stock of the library would receive a serial number called the accession number and is entered in the Accession Register which is an essential record in the library. The books in stock and those added to the library are entered in this register in the order in which they are received with the price paid on them. Every volume or copy is entered on a separate line and given a different number. The number assigned to it in a serial order in the Accession Register should be given on back of the title page of the book and also on a selected page or pages for identification. (This number should also be written in the upper right hand corner of the book-card and on the flap of the book the pocket). Accession register specifically designed for the purpose can be had from firms dealing in library supplies and equipment.

Alternatively, a strongly bound register or ledger size may be used with ruled lines in vertical columns across both pages for recording (1) date of acquisition, (2) Accession number, (3) Author (4) Title (5) Publisher's name and place of publication (6) Year, (7) Volumes/parts, (8) Edition, (9) Sources of supply, (10) Price (11) Call no. and (12) Remarks on any other information (i.e. rebound, discarded and cost written off with authentic authority and date). The specimen columns of accession register and Gift Register are given in Appendix. If the book is lost or discarded and if another copy bought to replace it, the new copy must be given its own Accession number and not that of the book lost or discarded.

A book purchased for library must be entered in the accession register and its accession number entered in the stamp affixed on the title page and also noted on the bill, before the

payment order is passed by the Head of the institution. If a book is acquired for the library by means other than purchases, it must also be entered in the Accession Register indicating it as a GIFT in the Remarks column. The Accession Register is an indispensable record of stock which is checked by the auditors at the time of audit. It is also a valuable document for compiling the annual report on the working of the library.

#### **i) Receipt of Books**

Books are received in the library several ways. They are delivered by the booksellers, received by post, comes through railway or lorry parcel or by any other mode. Usually bills are also received with the books and if the bills are received separately, they are to be kept pending until the books are received.

#### **ii) Checking of Bills**

On receipt of the supply the Bills are checked with the order copy which is lying pending in the order file to ascertain the correctness of the items ordered on a form meant for the purpose. The books are tallied with the bills and order list and their editions and imprints are verified. As books are published in many editions, it is most essential to take this fact into consideration. The popular edition, the paper-back, is cheaper than the library edition. It will also be verified whether the supply is in accordance with the items mentioned in the suppliers, bill and cost. No advance payment is made in respect of supply of books except in case of certain publishers. Further, books sent by V.P.P. will be honoured except in the case of Government publications where it is conditional.

#### **iii) Collation and Tallying Work**

The tallying work includes the tallying of the prices of the books. The price is generally given on the inner flap of the dust cover of the title page or on its back. For others, the price is found out from the publisher's and book sellers catalogues. Those items which are not found in accordance with the actual specifications or for which the price charged is more than the published one, a discrepancy letter is prepared and sent to the bookseller for supplying the documentary proof in support of the price charged. Collation is that part of the work verifying page by page whether the book contains all the pages intact or defect in pagination, irregularities in printing and physical defects. Defective copies are to be returned to replace with sound copies or reject the damaged book and delete the cost from the bill.

#### **iv) Bill passing Procedure**

The Accession Assistant gives a certificate on the bill that the books have been entered in the Accession Register vide such and such Accession number and affixes his initials. The books are then sent to the processing section (Technical dept) for the work or processing viz., labelling, stamping, classification and cataloguing and numbering and sending them to the shelves in the stacks.

#### **v) Passing of Bills for Payment**

The bills are handed over to the Bills Assistant by Accessioning Assistant after checking the total and conversion rates, confirming the fact the library discount allowed has been deducted from the gross total of the bill amount and only the net amount is claimed by firm gives a certificate on the bill to the effect, "Certified that Bill is verified and passed for payment of net amount" duly affixing the signature and entering in the Bill Register the related item on the order form or making the order card, if maintained, with a stamp, 'Received'.

In some libraries where indents are prepared as against order cards at the time of placing orders with the firm, soon after the supply of books cards will be prepared for the received items. The Accession number will be entered on these cards and these cards will be sent to the Technical (Processing) section along with the accessioned books. At the time of classification of books the call numbers will be entered on these cards and filed in the cabinets as shelf list cards according to the classified order.

The Specimen Columns of the Accession Register (which are printed on both sides of the pages), the Gifts Register, the Indent Register, the Bill Register and the Shelf card, are given in the following pages.

**Illustration-1: The Entries of Accession Register**  
(Name of the Library)

Date	Accession Number	Author	Title	Volumes	Edition	Year	Publisher	Source	Cost Rs.	Call No.	Remarks

**Illustration-2: The Entries in the Gift Register**  
(Name of the Library)

Date	Accession Number	Author	Title	Presented by	Publisher	Volume	Year	Call No.	Remarks

Illustration-3: Shelf List Card

Class No.	Author
Accession No.	Title
Order	
of	Edition                      Place                      Published
Received	Date                      Vols.                      List Price
Cost	Recomended by
Charged to	Address
Date of Bill	
L.C. No.	Received in

Illustration-4: Verso of the Shelf List Card

INITIAL AND DATE						
Approved	Accessioned	Classified and Catalogued	Typed	Individualised Number and Labelled	Checked and Sent to Shelves	Card filed

Illustration-5: The Entries in the Bill Register  
(Name of the Library)

Serial No.	Date of Receipt	Supplied	Bill No. and Date	Amount of the Bill	Date of Passing the Bill	Amount Passed	Date of Payment & Cheque No.	REMARKS

### Self-Check Exercise-1

List various columns marked in the Accession Register.

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

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

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### 16.2.2 Accessioning Records

A full accession record gives the library (1) a complete record of each item added, when the item itself is not at hand; (2) a direct record of the library's growth; and (3) a chronological record of the growth of the collections.

The accession number itself is useful in distinguishing among copies or volumes of the same title; in matching library cards with books quickly and accurately; e.g. as an element in the charging system; and for inventory purposes in a collection arranged in a fixed location. Some libraries have given up the accession record but have kept the accession number because of these advantages.

#### i) Accession Methods

Accessioning practices in libraries vary from a full record for each item to no accession record at all with its function distributed among other library records. The process and functions of accessioning have been adopted by each library to suit its own particular needs with the result that no single method of accessioning may be cited as the most common or as the best.

Accession records may be made in relation to the acquisition process and the cataloguing process and in a separate unit of the library depending on the use to be made of the Accession number and the information to be included. The method chosen depends on the function to be served.

#### ii) Accession Number

The Accession Number may be placed in as many as five locations in addition to its registration in the accession record; in the fore section of the book such as on the title page or on the first page thereafter; on some selected pages within the book in case the title page is lost; on the shelf list card; on the book card and on the book pocket. The most common single location in the book is on the back of the title page.

#### iii) Accession Register Types.

##### a) Ledger Type:

Libraries offer standard ledger-type accession registers with numbered lines and with columns for most of the items of information which librarians want. A more flexible record is also available in the form of a loose-leaf binder with sheets which fit into a typewriter. This form allows several

persons to do accessioning at the same time and facilitates the replacement of pages in case excessive changes or errors occur.

#### **b) Card Accession Records:**

These may be made up of the Order Cards once they have served their primary functions. This is particularly effective if the order number serves as the accession number or that of cards specially designed as the accession record.

**Advantages:** Advocates of the card record, specially the use of the order slip or a special slip generated in a multiple order form system point out that it is as accurate as the accession register. It is less cumbersome, takes less time, can give the statistics on growth of the collection broken down by subject field and is as permanent as the accession register.

**Disadvantages:** Its principal disadvantage is the necessity to provide storage for a card file which is seldom referred to and which serves no additional function. If the accession card is produced from automated library purchasing procedure, the tallying by subject field or by assignment to public service division becomes easy and the accession record can be kept on storage tapes.

#### **iv) Accession Record as a permanent Historical Record**

Above all, an accession ledger serves as a permanent historical record of the growth of collection in respect of both size and content, giving the history of every individual book that comes into the collection. It identifies each volume, giving its source and cost, providing the price of a lost book for which a borrower has to pay and furnishing the answer to patrons who ask where a book has been obtained or how much it costs. It helps in keeping a statistical count of the growth of the collections and may be planned to give the number of volumes in particular subject fields or in particular locations and in keeping an easy check on special collections. It can serve as a record of gifts and memorials received by the library. It offers facts for quick computation of the cost of books purchased during any given period, including the complete cost figures in evaluating collections for insurance purposes. It may be kept to meet a legal requirement including the furnishing or proof to the effect that a book paid for has been added to the library collection. It can be useful in taking inventory. It provides a charge record for books circulated before processing is completed. It is a popular tool in collection control, where, it sometimes serves as shelf list and catalogues as well.

#### **v) Use of Accession Records**

The modern libraries using the traditional Accession record defend its retention by listing a number of advantages such as the following:

- (1) Ready information as to source and price paid for each publication.
- (2) Ready Statistical count of collections.
- (3) Permanent historical record of the growth of the library.
- (4) Insurance record.
- (5) Circulation record for books loaned before cataloguing.
- (6) Absolute identification of each copy of a book.
- (7) Less frequent 'discharging errors' in circulation.
- (8) More easily used by an untrained person than a shelf list.
- (9) Confirmation of gifts for income tax purposes and
- (10) Identification or ownership of titles in a combined library.

The Accessioning process will streamline the record of reading materials and show its stock position to the library authorities. The method of Accessioning may differ from library and the bibliographical description of the printed and non-printed materials will not be the same in every library. In the management of library the process of accessioning which play a great role, since it is a boon to the library.

### Self-Chek Exercise-2

What is the major purpose of an Accession Record ?

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

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

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## 16.3 PROCESSING OF BOOK IN TECHNICAL SECTION

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The Technical section of a library is the pivot on which all its activities revolve. The functions of this section are considered to be mysterious by the lay public. The work of the Technical section is basic to that of the other sections of a library. This is the section which help transformation of a collection of books are into serviceable articles. The old idea i.e., *Books are for preservation* has now given way to that of *Books are for use*. In this context it is worth knowing in detail the technical process through which a book passes before it is sent to the shelves after it acquired.

A chain of activities are to be completed after a book is acquired for the library and before it goes into the live collection for release to the reader. It consists of:

- a) Physical preparation.
- b) Classification
- c) Cataloguing
- d) Shelf-list.

### 16.3.1 Receiving books in the Technical Section

Accessioned books are transferred to the Technical section to prepare them for the use of the readers. In bigger libraries where large number of books are received, there should be some built-in arrangement to process the books. Books that are to be released urgently, the Accessioning section inserts a coloured rush slip to indicate to the Technical Section that those books should be given priority.

The first duty of the head of the Technical Section is to arrange the new book in some order. Books can be arranged in several ways (1) by date of receipt (2) by alphabetical order of authors (3) under broad subject headings. The purpose is two fold. One is the order Section is likely to check for duplicates before ordering books and secondly new books are likely to be asked and should be traced without much waste of time.

There must be clear cut demarcation of duty in the Technical Section. It is better if classification and subject cataloguing is done by the one and the same person. The advantage is

while classifying the document, the classifier analyses the subject and will have better grasp of the content of the document. If the work is assigned to two different persons, they have to analyse the subject twice. Descriptive Cataloguing can be assigned to another cataloguer. There can be also division of work in case of fiction books, serials, language books and non-book materials. This depends on the quantity of materials to be classified and catalogued. There cannot be one yardstick of the libraries. A policy decision is to be taken first how the work is to be divided by the librarian in consultation with the Head of the Section.

### **16.3.2 Physical preparation of book for use**

Soon after the receipt of books and other reading materials in the Acquisition Section of the library, the process of acquisition, accessioning, preparation of shelf list cards and the passing of bills for payment, etc., are completed, such books and other reading materials are sent to the Technical Section together with order cards for future processing, i.e. classification and cataloguing.

The physical preparation of the books involve the stamping of the name of the library on the title page and on one or two other conventional pages of the book. A book plate ownership label should be pasted on the inside of the front cover showing the mark of ownership of the book. A book pocket should be pasted on the inside of the back cover and a 'date due slip' on the fly leaf opposite the book pocket is affixed. The author's last name is written on the top line, the brief title of the book on the second line, placed in the book-pocket. The preparation of the book depends on the type of issue method adopted by the library concerned. The description given here is for the Browne system of issue method and hence it may differ from library to library. This work of stamping and labelling can be done by the library attendant under the supervision of the Technical processing Assistant.

### **16.3.3 Classification & Cataloguing**

Before starting classification and cataloguing of new books the person concerned has to check either in the public catalogue or from the master catalogue (if maintained in the Technical Section) whether a copy of the same title already exists in the library. If there is already a copy of the book is available, this information is to be noted on a slip with the call number and the same is to be handed over to a clerical assistant of the section to note the details of the second or additional copy and also to prepare an additional shelf list card. Same procedure is to be followed in case of serial publications like year books which are received at regular intervals and the previous volumes are already available in the library. In case of bound periodicals if the previous catalogue entry is open entry, there is no further information required as far as the catalogue entries are concerned. Only the volume is to be prepared, by giving the call number and preparing the volume for shelving. This work also to be assigned to the clerical assistant.

If the work is divided between the classifier and cataloguer, the classifier has to give the full call number including subject heading. The classifier has to check the previous numbers given for similar books, check from different bibliographical tools for the correct class number in such cases where the subject is complicated and he is unable to assign the coextensive number. The books so prepared are to be passed on to the Cataloguer who has to prepare process slips or cards. Each process slip with complete catalogue entry is to be passed on the Head Cataloguer for scrutiny. The slip should indicate the number and kind of added entries to be made for each document. The book and the slips are now passed on to the typist for making additional cards which are to be checked again by the Head Cataloguer or Section-in charge. Mistakes if any are to be corrected at this and will be difficult to rectify later.

The Technical section should usually maintain a manual for assigning classification numbers and subject headings, if there are any variations from the printed tools. If authority files are already maintained, they are to be consulted before classification and cataloguing work is undertaken. At the same time the authority files are to be updated as and when new items are traced. There should not be any deviation from the tools used, or from the manuals and authority files.

#### 16.3.4 Shelf List

In addition to the card catalogue the library should also maintain a list of its books in the order in which they appear on the shelves. This card file is technically called the Shelf-list. It is not open to public view, being primarily intended for use of the librarian in preparing the inventory and for annual stock-taking. And also for noting the sequence numbers at the time of filing. Teachers or researchers can profitably consult the shelf-list while preparing bibliographies for themselves or to find out how many copies of a book the library has before setting an assignment.

#### 16.3.5 Cataloguing Tools required in Technical Section

The Technical Section must have at their disposal several tools which they have to refer constantly. Some of the important ones are:-

- (1) Classification schedules
- (2) Subject Heading List
- (3) Author marks (if they are used)
- (4) Standard dictionaries
- (5) Catalogue codes
- (6) Biographical dictionaries (if available, two copies in the library- one can be kept for the use of the Technical Section).

In addition to the above all types of stationery required for daily use should be made available. For want of any of the library requisites, the work in the Technical Section should not suffer. Even small items, for example book labels are exhausted, the new books cannot be released for use. Hence it is the duty of the Section Head to keep a watch on the stationery and other items of daily use and place the orders well in advance and not after the stock is exhausted.

#### 16.3.6 Reclassification & Recataloguing

Definitions: what is meant by reclassification and recataloguing? Changing soiled or worn out cards, or half-sized or manuscript cards for new, full-sized or printed cards may appear to be recataloguing but only in a mechanical sense. The actual changing of call numbers on cards and books has been termed Reclassification: in short, renotation. The term, "Recataloguing" as used here means any change made in the original cataloguing, i.e., in the form of content of the entries of the main or secondary cards, the bodies of cards, the various types of notes or in the form or terminology of the subject headings.

"Reclassification" is meant to describe the regrouping of collection of books into subject classes different from those previously employed. The term includes the reassigning of a distinctive call number to each item, which indicates the group to which it belongs and the place which it should occupy within that group in relation to other books.

Complete reclassification may refer to a change within a Classification such as expanding an abridged system or to a change from one system to another and involving complete, partial or no recataloguing. Partial reclassification involves the arrangement within a classification which result from temporary classification or detection of misplacements and obvious errors. The process involves much cost to the library. The remarking of books, withdrawal of cards from the Catalogue and Shelflist, the ordering of new cards or the reasing of old ones, the refiling and changing of book cards and pockets all represents added activities, which increase the cost.

Recataloguing may mean a number of things such as eliminating obsolete main and subject entries, revising descriptive information on cards, giving up the use of one subject heading list for another, introducing a new system of cross references and information cards and subdividing subjects which have grown rapidly. It may also refer to the substituting of standard sized card for odd-sized card and the replacing of hand written and worn cards with typed and printed ones. This is called complete editing of the catalogue.

### **16.3.7 Final processing in Technical Section**

After the completion of Cataloguing work, the book card and a book pocket have to be prepared. The book card containing the details of call number, accession number, author's name, title of the book has to be written legibly or typed for accuracy. The Call Number has to be written in Indian ink on the spine label of the book. The book pocket is pasted on the inside cover of the book; and a Due Date slip is pasted opposite to it. After the filing of Shelf list cards and different Catalogue cards in respective alphabetical sequence in the Catalogue Cabinets, the processed books are thoroughly checked and sent to the stacks for the use of the readers.

Some libraries display their new books for a limited period, before they are sent to the Stack Room. In some cases only selected titles are exhibited. Whatever policy is adopted in your library, it is the Technical Section's responsibility.

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## **16.4 FILING OF CATALOGUE CARDS**

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Catalogue cards have to be filed alphabetically in the Catalogue Cabinet following the standard filing rules such as letter-by-letter or word-by-word system. Accuracy in filing is most important. Wrong filing of Catalogue Cards will tell upon the efficiency of the library. They can be approached in three ways: (1) by Author, (2) by Title and (3) by Subject exclusively for the sake of users. The following are a few basic rules followed in the filing of cards:

- (1) File alphabetically word by word.
- (2) Disregard the article, (a an, the) when it occurs as the first word of the file.
- (3) Expand the abbreviation.

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## **16.5 PREPARATION OF RECENT ADDITIONS LIST**

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Generally, modern and big libraries like University and Public libraries bring out Recent Additions monthly list of a particular library containing particulars of Serial Number, Author, Title, Accession Number etc in Classified order. To prepare the list of Recent Additions the master cataloguing slips will be first prepared before the preparation of catalogue cards and preserved upto the end of every month soon after sending the newly added books to the stacks after having completed the process of work in the Technical Section of the library. Such slips are then arranged in a classified order, incorporating subject headings under each class, and tagged for sending them for typing as Recent Additions list for a particular month.

These lists will be circulated to the staff and students, to the other institutions (Libraries) and the Departments which are included in the mailing list of the library at the beginning of every month. This list will give information about the new books added to the library during the period. The users may select from the recent additions the books that interest them. This service will mostly help the researchers who seek current information on a particular topic of research. This is an essential service to the users of the University Library in particular. These Recent Additions lists will also supplement the information concerning the holdings of a particular library used in preparing the Union Catalogues.

**Self-Check Exercise-3**

- (a) List various tools required in a Technical Section for classification and cataloguing of books.

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

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

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- (b) Explain the meaning of the terms 'Reclassification' and 'Recataloguing'.

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**16.6 SUMMING UP**

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To sum up, the technical processing of books and physical preparation of books carried out in the Technical Section of a library is comparable to that of a Laboratory.

Although the structure of the Technical Division may vary from library to library, it generally, includes the Acquisition department and the Cataloguing department. In some libraries, it may also include the Binding and photography departments. The Technical division can thus be called Preparation Division since acquisition, cataloguing and binding are undertaken by it. The major Technical processes which a book has to undergo in the Technical Division are as follows: (1) labelling, stamping (embossing), marking of notation (numbering in Indian Ink) (2) The preparation of Author, Title, Subject and other analytical entries (Cards in the Cataloguing wing under the rules of Catalogue codes followed in the library) and (3) The classification of books as per the Scheme followed in the classification wing.

The Librarian or Assistant in-charge of the Technical Processing Division will supervise the whole process and after final checking the catalogue cards will be filed alphabetically in their respective sequences, in the Catalogue Cabinets as per the rules of filing. The Shelf List Cards will be filled separately in the Catalogue cabinet for the use of the library and the books will then be transferred from the Technical processing Division to the Stack Area where the books will be arranged in a systematic classified order for the use of the readers. It is only then that the readers services will be initiated in the library. A Recent Additions List will be brought out by the Technical Processing Division every month to make the new additions to the holdings of the library known to the students and the staff. Thus this division plays a vital role in the library.

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## 16.7 MODEL ANSWERS TO SELF-CHECK EXERCISES

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1. The following are the entries of Accession Register: Date of accession; Accession Number; Author; Title; Publisher's name and place; Year; Volumes/parts; Source of supply; Price; Call Number; and Remarks.
  2. The major purpose of Accession Records: (i) It is a record of each item (documents) added to the library; (ii) a direct record of the library's growth; and (iii) a chronological record of the growth of library collection.
- 3.(a) The following tools are required in the Technical Section:
- i) Classification Schedules
  - ii) Cataloguing Codes
  - iii) Subject Headings list
  - iv) Author marks (if used)
  - v) Standard dictionaries
  - vi) Biographical dictionaries

(b) The term 'Reclassification' means reassigning of class numbers on catalogue cards and books when the collection is regrouped. 'Recataloguing' means any change made in the entries of the original catalogue. Reclassification and recataloguing are required when a new edition or a new scheme of classification or a different code of cataloguing is employed.

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## 16.8 ASSIGNMENT

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- (1) What is the purpose and functions of Accessioning of reading materials in the libraries? Describe the Accession Register.
- (2) What are the various methods of Accessioning? What are the Advantages and Disadvantages of each method of Accessioning?
- (3) Write short notes on the following: (i) Accession Register (ii) Gift Register (iii) Shelf List Card (S.L. Card) (iv) Indent Register (v) Bills Register.
- (4) Explain the Technical process through which a book passes in a library before it is sent to the shelves after it is acquired.
- (5) Write short notes on the following: (i) Subject Authority file (ii) Reclassification and Recataloguing (iii) Filing of catalogue cards (iv) 'Recent Additions' list'.

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## 16.9 RECOMMENDED BOOKS

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- 1) "Accessioning". IN *Encyclopedia of Library and Information Science*.  
New York: Marcel Dekker, Vol.1; pp.49-54.
- 2) BONK, W.J. and Magrill, R.M. *Building Library collection*. Scarecrow Press, 1979.
- 3) MITTAL, R.L. *Library Administration: Theory Practice*, 5th ed. New Delhi: Metropolitan,  
1984. pp.225-245.

BRAOU

# **UNIT-17 : SERIALS CONTROL AND MANAGEMENT**

## **Contents**

- 17.0 Aims and Objectives
- 17.1 Introduction
- 17.2 Types of Periodicals
  - 17.2.1 Primary and Secondary Periodicals
  - 17.2.2 Periodicals by Source of Publication
- 17.3 Selection of Serials
  - 17.3.1 Criteria for Selection of Serials
  - 17.3.2 Sources for Selection of Serials
- 17.4 Acquisition of Serials
  - 17.4.1 Assessing the Standard of Serials
  - 17.4.2 Methods of Acquisition
- 17.5 Subscription of Foreign Serials
  - 17.5.1 Direct Procurement from Foreign Publishers
  - 17.5.2 Through Foreign Subscription Agencies
  - 17.5.3 Selection of Subscription Agent
  - 17.5.4 Efforts of State Trading Corporation (S.T.C.)
  - 17.5.5 Role of Good Offices Committee
  - 17.5.6 Problems of Subscription to Foreign Serials
- 17.6 Processing of Serials
  - 17.6.1 Methods of Registration
  - 17.6.2 Computerisation of Serials Control
  - 17.6.3 Financial Control
  - 17.6.4 Display and Preservation
- 17.7 Summing Up
- 17.8 Model Answers to Self-Check Exercises
- 17.9 Assignment
- 17.10 References

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## **17.0 AIMS AND OBJECTIVES**

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Serials form an important portion of the library collection . This unit aims to explain the different types of periodicals, sources for their selection, problems of subscription, especially foreign journals, steps to be taken to safeguard advance payments made, the role and functions of Good Offices Committee, processing of serials etc.

After studying this unit, you should be able to

- explain the purpose of serials in libraries
- categorise different types of periodicals
- describe the procedure for the selection of serials

- explain how to subscribe to foreign journals
- enumerate the problems resulting from subscription to current foreign journals
- describe the method of processing serials in libraries

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## 17.1 INTRODUCTION

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A periodical according to *A.L.A. Glossary of library terms* is defined "as a publication issued in successive parts usually at intervals and as a rule intended to be continued indefinitely., "The publication known as "Journal " published periodically is called Periodical. A periodical is a continuous publication with a single and distinctive title issued at regular or irregular intervals of less than a year.

A periodical is an agency for reporting current observations, new ideas and research findings of piecemeal nature. The periodical is a medium of first publication for speedy communication of the latest information and research findings in most fields of knowledge. Periodicals are of utmost importance to the work of a research organisation since they contain the latest ideas and research data. They are an important source for specialised information.

The periodicals are distinguished on the basis of their periodicity or period of publication. They can be classified as (i) Weeklies (e.g. *Nature* U.K.); (2) Fortnightlies (e.g. *Frontline* published by 'The Hindu', Madras, twice a month); (3) Monthlies (e.g. *American Mathematical Monthly*, published by American Mathematical Society; (4) Bi-monthlies (e.g., *Geo-Times*); (5) Quarterlies (e.g., *Library Quarterly*, U.S.A.), published one in every three months; (6) Halfyearlies (e.g. *Journal of Library and Information Science*, published twice a year by the University of Delhi) (7) Annuals published once a year (e.g. *Advances in Librarianship* U.K)

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## 17.2 TYPES OF PERIODICALS

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The periodical publications are of different standards to suit the different types of readers, viz. Child, Student, Business man, the Research Scholar, etc. There are certain periodicals which contain information for entertainment or recreation, so journals communicate information helpful to self-education while others convey information for the intellectual development of the readers.

### 17.2.1 Primary and Secondary periodicals

The periodicals are published under synonymous terms, viz., (1) Journals (*Library Journal*) (2) Magazine (*Philosophical Magazine*) (3) Bulletin (*JLA Billentin*, (4) Proceedings, and (5) Transactions (eg. Transactions of the ASAE). American Mathematical Society publishes three periodicals individually under the titles, Bulletins, proceedings and Transactions respectively.

The Primary journals, otherwise known as 'Recording Journals' form the basic source of information for original research in scientific and technological fields, e.g., *Annals of Botany*,

The Secondary Journals known as 'Newspaper Journals' interpret the research work reported in primary literature, e.g., *Chemistry in Britain*, (But *Chemistry and Industry* is an example of a journal containing research papers as well as secondary materials). Abstracting and Indexing Journals also come under the category of Secondary Journals.

#### Abstracting Journals

Abstracting journals contain abstracts or summaries of the articles published in various periodicals with bibliographical citations: e.g., *chemical abstracts*, U.S.A.

## Current Contents

*Current Contents* is another type of secondary source journal published as weekly by the Institute of Scientific Information, Philadelphia, in different sections dealing with different subjects and reproducing the contents pages of various journals relating to the articles under publication. The Current Contents Journals offer current awareness service which communicates in advance the periodical articles under publication in journals in various languages in different parts of the world in the respective subject fields unknown to the researchers and specialists. The Abstracting journals are helpful to retrospective searching by means of cumulative indexes.

## Indexing Journals

Indexing Journals index the articles published in different periodicals in their chosen fields or jurisdiction and containing full bibliographical information about them: e.g. *Engineering Index* (This annual publication enables a specialist to know the titles of articles published in different languages in his field of specialisation, Engineering). Similarly, the periodical, "*Index India*" (a quarterly publication) lists articles subject wise published in several Indian newspapers and journals and provides author and subject indexes to help the users.

## Review of Journals

It is a periodical comprising articles briefly surveying the developments in a particular field during the given period. In other words, the review journal summarises the information found in articles on a particular aspect of a subject in different journals during the particular period which may not be known to the specialists. For example *Biological Reviews of Cambridge philosophical Society* and *Science progress* are the journals that come under this category. Similarly, the annual publication viz., *Annual Review of Biochemistry* gives a summary of the developments and research activities in the field of Biochemistry during the period of one year based on the articles published in various periodicals, reports, etc. in the respective subject during the period of one year.

## 17.2.2 Periodicals by Source of Publication

The following are the different agencies which publish the periodicals.

### Learned Societies

Periodicals come into existence to serve as organs of learned societies to record the scientific and research activities of the members and to communicate research activities of the members and to communicate research findings reported elsewhere unknown to the researchers. These Journals known as Research Journals provide an opportunity to members to publish the results of their investigation. Societies publish primary journals containing papers of original research periodically and also secondary journals dealing with the minutes of the meetings, brief accounts of the papers, etc. For instance, American Mathematical Society publishes primary and scholarly journals entitled "(1) Proceedings and (2) Transactions and also two secondary journals under the titles", (1) Bulletin and (2) Notices to supplement the former. Similarly, ASLIB (Association of Special Libraries, U.K.) regularly publishes *ASLIB Proceedings* in the field of Library science.

### Institutionalised Research

Nowadays it is not possible for a scientist to carry out research individually. Thus research has become institutionalised. Academic institutions like universities report increasingly results of research in their Journals which do not enjoy wide circulation compared to learned society publications, e.g., (1) *Journal of Geology* (University of Chicago,) (2) *Japanese Journal of Physics* (University of Tokyo, Japan).

## Government Bodies

The research activities and scientific progress achieved by various institutions which are financed by the Government are reported in the official publications of Government at national level e.g., *Canadian Journal of Chemistry* (National Research Council of Canada).

## Professional Bodies

The work of professional bodies overlap the work of learned societies. The journal published by a professional body primarily deals with education, status and professional responsibilities of the practitioners in the respective fields in addition to the subject matter, e.g., *Structural Engineer* (Institution of Structural Engineers, U.K.). Like learned societies, professional institutions publish more than one Journal to serve a variety of interests. These Journals known as 'Technical Journals'. They are invaluable in that they bring the new processes, equipment, etc. to the notice of manufactures, sales and commercial personnel. They are often of high standard and scholarly. Much of their value lies in their advancements or announcements dealing with the new machinery, chemicals, etc. which are not available from other sources: e.g., *American Dye Staff Reporter* (USA).

## Commercial publishers

The majority of the periodicals are brought out by commercial publishing houses in Science and Technology with a business motive. Since the societies lack adequate financial resources for the publication of periodicals, commercial publishers such as the Academic press, U.S.A., Pergamon press, London have come forward to publish several hundred primary research Journals as a significant contribution to the communication of news and views concerning science and technology. The commercial pressures force them to maintain the standard and reputation of their Journals by ensuring quality, content and technical accuracy of the published articles through the constitution of a editorial board of eminent scientists and subject specialists for each of their journals. Since a large number of institutions subscribe to their periodicals to meet the needs of the users, commercial publishers may take an undue advantage by raising the subscription rates from year to year.

Trade Journals are more commercial than technical ones and more news oriented than subject-oriented ones and, they rely on revenue from advertisements, eg. *Printing world*. Some are useful sources of business and commercial information while other Journals are widely read by the scientific and technological community, e.g., *Chemical Age*.

## House Journals

House journals include generally those which are issued by various firms and bodies and are meant generally to be distributed free of charge with a limited circle of clients and members. The house journals issued in English are meant for advertising by manufacturers, dealers and public corporation; e.g., *Philips Technical Review*. Like other forms of literature, they contain information of value which cannot be obtained elsewhere. This category also includes the News Letters issued by various libraries such as *Library News Letter* issued by Himachal Pradesh University and published by Macmillan Co. Ltd., U.K.

## Independent Journals

Independent journals are numerous in number and cover almost the whole Universe of Knowledge such as *Times of India* (Daily) and *Illustrated weekly of India*, published by the Times of India Press, Bombay, and *The Nature* (Weekly) published by Macmillan Co., Ltd., U.K.

## Communication Journals

The demand for fast flow of information has given rise to the communication or letter journals. It contains short preliminary announcements of work in progress in the manner of the letters to *Nature* and *Science*. To ensure prompt dissemination, the communications are published on an unedited form to give an indication of the fuller publication in a more conventional journal, e.g. *Applied Physics Letter* (American Institute of Physics), *Chemical communications*, (Chemical Society, London).

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### 17.3 SELECTION OF SERIALS

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The selection of periodicals for subscription, exchange or gift is an important function of the library. The library is an agency of graphic communication. The library needs to know its readers requirements and also have knowledge of periodical publications. The selection of a wrong periodical unsuited to the readers entails waste of time, effort and money.

The selection of periodicals for subscription, by library depends on the following factors:

- (1) The scope of the library
- (2) The financial resources of the library
- (3) Demands of readers
- (4) Periodicals which the library is subscribing, and
- (5) Whether the title is available elsewhere

#### 17.3.1 Criteria for Selection of Serials

The selection of periodicals should be determined by the kind of library that it is and clientele that it has. For example, in a small library it will be improper to subscribe to highly advanced journals. A committee has to be entrusted with the selection of journals in the case of university libraries, Information Bureau, London has recommended the following criteria for the selection of periodicals:

- (1) Recommendation by Specialists
- (2) Recommendation by members of the library staff
- (3) Announcements and Reviews
- (4) Consultation of list of most cited serials

The serials or periodicals which are cited very often by the specialists in their books can be safely subscribed to; when people often quote and refer to certain serials and periodicals, it can safely be inferred that these publications contain useful matter for the use of research scholars and specialists. Similarly, the journals and serials which are mostly abstracted and indexed in standard indexing and abstracting journals can be subscribed to, because only the articles of those journals can be subscribed to because only the articles of those journals are standard ones.

The journals of professional societies, manufacturing organisations and international bodies can be selected easily for subscription on the basis of their research value and reputation in the respective branches of knowledge. Apart from those mentioned above, the following factors have to be kept in the mind for selecting periodicals:

- (1) Regularly indexed titles should be selected first.
- (2) Journals should supplement rather than duplicate each other.
- (3) Quality, variety and interest should be considered
- (4) Periodicals useful for circulation as well as reference should be chosen.

In the case of University Libraries, the periodicals are subscribed to department wise based on the recommendation of the respective Heads of departments. The Head of the Department of a subject (discipline) is expected to recommend a list of periodicals which are standard ones, helpful to meet the needs of researchers and staff of his department after ascertaining the views of his colleagues in this regard.

### 17.3.2 Sources for Selection of Serials

**Periodical Directories:-** It is essential to acquire the periodical selection tools regularly to get the latest information without any difficulty. These tools facilitate the acquisition of good periodicals. The following are some of the important selection tools, which should be kept in each good library.

- 1) *Ulrich's International periodicals Directory* published annually by R.R Bowker & Co., U.S.A.--a classified guide to select current list of foreign and domestic periodicals in two volumes containing an index of titles of periodicals in alphabetical order. It also furnishes information about the periodicals which ceased publication.
- 2) Union Catalogue of periodicals is one of the sources for selection of periodicals. For example, *The world list of Scientific periodicals*, published by M/s. Butterworth & Co., London.
- 3) *British Union Catalogue of periodicals (BUCOP)*
- 4) *Directory of Periodicals*, New York.
- 5) Catalogues of periodicals published by various periodical subscription agencies like M/s.B.H. Blackwell & co. Ltd., London, These Catalogues furnish the titles of the periodicals in alphabetical order and contain details of periodicity, the latest subscription rates and postal rates for overseas subscribers.
- 6) *The Directory of Indian Scientific Periodicals* published by the Indian National Scientific Documentation Centre, New Delhi (1968)
- 7) *Nifor for Guide to Indian periodicals (1955-56)*
- 8) *Indian periodicals: An Annotated Guide*, edited and published by Rajasthan University Library, Jaipur is a useful and valuable source for selection of Indian periodicals.
- 9) New periodicals are announced and reviewed in current periodicals. For example *College and Research Libraries* and *Times Literary supplement* are periodical titles which furnish information about new periodicals.
- 10) National Bibliographies like *Indian National Bibliography* and *British National Bibliography* list new periodicals published in their respective countries. Documentation lists and recent additions lists are other sources of information about new periodicals. Directories of periodicals are often used for the initial selection and building up of the periodicals collection.

### Self-Check Exercise-1

What are the factors that determine the selection of periodicals for subscription ?

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

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

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## 17.4 ACQUISITION OF SERIALS

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### 17.4.1 Assessing the Standard of Serials

The initial step is to compile a list of all the journals subjectwise with the help of periodical selection tools or sources. The next procedure is to assess the standard of each periodical and to make suitable selection on the basis of grading in relation to the needs of the library. There are various methods of grading, which are:

(1) to examine the holding lists of other libraries and note the frequency with which particular titles appear in the lists of libraries specialising in the same subject.

(2) to count citations in Abstracting and indexing publication giving weight to those items useful to a particular library.

(3) to take into account other factors like the status of publishing house, and the value of special features such as abstracts, reviews and indexes that the journal may contain and any special supplement that it issues.

The results of these gradings should then be checked against the opinions of subject experts and finally a choice is made according to the special needs of the library.

In the case of new titles, it may not be possible to assess their usefulness by examining one or two specimen copies. Their utility can be assessed by subscribing to those periodicals for a period of one year to start with and discontinue them the next year if their use and views of the academic staff do not warrant acquisition. Thus subscription depends on users demands, financial resources and periodicals collection of the library.

### 17.4.2 Methods of Acquisition

The periodicals can be acquired through any one of the following methods:

- 1) By subscription
- 2) Through Institutional membership of societies and learned institutions
- 3) By Gift
- 4) By Exchange

### 1) By Subscription:

The periodicals are generally procured directly from the publishers or through subscription agents. The subscription agents are appointed as standing vendors on the basis of their terms and rates of supply of periodicals either annually or for a period of three years depending upon the policy of the library.

### 2) By Becoming members of Learned societies:

Learned societies generally publish one or more regular publications to communicate their activities, programmes and achievements to their members regularly. These publications will be received by the library if it is an institutional member of learned societies.

### 3) By Gift

Many societies send their publications to the library free of cost for the sake of publicity. Some publishers also supply some of their publications to make the libraries subscribe to them at a later date. The acceptance of gifts may create storage problem. So the gifts should be accepted with much care and scrutiny after ascertaining their usefulness to the clientele of the library.

### 4) By Exchange

The two commonest forms of exchange are one piece for piece basis or on a value for value basis. In other words, in the use of the former method of exchange, a publication has to be sent in exchange of another publication irrespective of their cost. In respect of the latter, the exchange of publications should be in terms of the costs of the publications covered by exchange relationship. The former has the advantage of not requiring such accounting provided that a reasonable and suitable item is sent or received in exchange. If the value of the item received is uncertain, it may be advisable to insist on a closer degree of equality in respect of the material sent.

Smithsonian Institution, U.S.A. offers the exchange of their publications with those of interested organisations of various countries. The University of Madras which publishes the *Indian Year Book of International Law* sends its copies to foreign universities to get in exchange their law publications for their library. The publications which may not be available through normal trade channels can be acquired through exchange. If exchange agreements are considered carefully, they can help to acquire the otherwise unobtainable materials for the library. But if entered into thoughtlessly it may result in waste of time and energy with little benefit to the library.

The periodical publications are of two types: (i) Indian, and (ii) Foreign. In the case of Indian periodicals, the problems of subscription to current journals are less when compared to those of foreign journals. It is better to deal directly with the publishers in respect of Indian periodicals to ensure regular supply and safety of advance payments made towards the subscription of periodicals.

#### Self-Check Exercise-2

What are the various methods of acquiring periodicals ?

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

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

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## 17.5 SUBSCRIPTION OF FOREIGN SERIALS

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There are four ways of procuring foreign periodicals for Indian libraries.

- (a) Directly from the respective foreign publishers
- (b) Through foreign subscription agencies
- (c) Through subscription agents in India
- (d) Through a Centralised agency like S.T.C.

The libraries subscribing to few periodical titles can acquire them through a reliable subscription agent in India. Problems will arise in subscribing to foreign periodicals in the case of big libraries attached to universities and research institutes.

### 17.5.1 Direct Procurement from Respective Foreign Publishers

There are many libraries and documentation centres in India, which prefer to procure periodicals directly from the publishers. The following are the advantages of this method.

#### Advantages:

- (1) Normally uninterrupted receipt of the issues of periodicals is assured.
- (2) Publishers being reliable, there is no chance of over or under payment.
- (3) The publishers will supply few issues of the periodicals to the institutions even after the expiry of subscription period in anticipation of renewal of subscriptions.
- (4) Remittance of subscription amounts to the publishers is assured.
- (5) There is no need for any further proof for verification of the subscription rates.
- (6) No risks involved in making advance payments for the supply of current periodicals in the case of publishers; safety for amounts paid is assured.
- (7) There is practically no chance of the amount being misused as experienced in the case of agents.
- (8) Some periodicals which can be acquired through agents can be got by ordering directly from the publishers.

#### Disadvantages:

- (1) Correspondence with publishers individually for each title will increase clerical work.
- (2) Unless the first issue is received, it is difficult to ascertain about receipt of payment by the publisher.
- (3) The postal expenses will be heavy for sending Air Mail letters while ordering, issuing reminders, despatch of bank drafts for payment individually to the publishers.

- (4) The library's financial commitment towards bank draft charges for each publisher will be heavy.
- (5) Most of the publishers do not entertain requests for replacement copies for non-receipts nor do they agree to refund the proportionate cost of the missing issues.
- (6) Publishers offer no discount on subscription rates.
- (7) If subscribed through agents, the discount offered by the publishers to the former will result in the saving of Foreign exchange to the country.

### 17.5.2 Procurement through Foreign Subscription Agencies

#### Advantages:

- (1) If subscribed through foreign subscription agents like M/s, B.H. Blackwell & Co., London, W.M. Dawson & Co., London, Clerical work and correspondence can be reduced.
- (2) The conversion rates charged will be at the prevailing exchange rates.

#### Disadvantages:

- 1) The foreign agents claim handling charges in respect of some periodicals.
- 2) They are not bound by agreements.
- 3) They do not offer any discount to individual subscribers which is offered to middlemen or subscription agents. It means loss of foreign exchange to that extent.
- (4) Libraries cannot always enforce proper safeguards in their own interest in the case of foreign agents and the transaction has to be on the basis of trust only.
- (5) Foreign subscription agents do not entertain requests for replacement copies or agree to refund the subscription amounts in respect of issues lost in transit.
- (6) In case of non-receipt of issues, the subscribing library has to write to the agent who will in turn inform the publisher about the non-receipts. The matter will be delayed by this process.

### 17.5.3 Selection of Subscription Agent

The first and foremost problem is the selection of a subscription agent. It is rather difficult to decide as to whom to select among the innumerable agents competing among themselves and trying to underquote as much as possible in order to get business. The task of selecting a subscription agent does not end by simply inviting quotations and appointing one on the basis of attractive and favourable terms.

Since money is paid in advance, it is necessary to choose an agent of integrity and sincerity rather than one who merely quotes the lowest rates. There are cases of non-remittance of subscription amounts to the publishers. The signing of the agreement form and selection on the basis of lowest rates will not justify the selection of a subscription agent. The best course for the Government is to prepare a national register of reliable subscription agents. The Government has to lay down a uniform policy in regard to selection of agencies, conversion rate, mode of payment and matters connected with non-receipt of journals.

### (i) Calling for Quotations/Inviting Tenders:

Administrative procedure necessitates the calling for quotation to make purchase on the basis of competitive rates. Likewise, libraries are also expected to call for quotations for selection of an agent for subscribing to the periodicals. It is not necessary to invite quotations individually for periodicals, since it will not be possible for the agent to underquote the publishers rates and arrange supply to them.

The subscription agencies would be required to furnish their terms of contract in respect of the following: (a) conversion rates for foreign currencies, (b) Advance payment to subscriptions, (c) percentage of discount, if any, offered over subscription rates, (d) percentage of handling charges over the supply of certain periodicals coming under no-discount category, (e) postal charges, (f) supply of missing issues, and (g) the executing an agreement. Apart from these terms, the reliability, reputation, quality of service, promptness in attending to correspondence and the subscription agent have to be considered before appointing him as the vendor for a fixed term of one, two or three years depending upon the policy of the library.

In the case of some university libraries which incur expenditure in terms of lakhs of rupees per annum, wide publicity to be given in the daily newspapers calling for tenders from the subscription agents in India for the supply of current foreign periodicals.

#### ii) Execution of agreement:

It is necessary as per Government rules that in case any advance is paid in respect of subscription of journals, the stipulated agreement has to be executed by the subscription agent. To safeguard themselves against unscrupulous subscription agencies and for assured supply, the libraries should get the agreements signed by the middlemen who will act as agents. Though they sign the agreements the agencies, as experienced on many occasions, do not strictly comply with the terms stipulated in the agreement.

#### iii) Appointment of Indian Subscription Agent:

Among the Indian subscription agents, the selection of the subscription agent for the supply of foreign periodicals should be based on the reliability, reputation, financial status and efficiency of that subscription agent. In the case of small libraries, it is advisable and economical to subscribe to the periodicals through Indian Subscription agents.

#### Advantages:

- (1) The Agents allow a certain percentage of discount over the subscription rate of some periodicals where publishers do not offer any discount to subscribers.
- (2) Agents get agency commission from most of the publishers which results in the saving of foreign exchange to the extent of 10% to 15%.
- (3) Payments are made in Indian currency. There is therefore, no need to apply to banks for obtaining bank drafts for payment of subscriptions in foreign currencies.
- (4) Correspondence is restricted to one party, i.e., the Agent concerned.
- (5) Expenditure on postage and correspondence work will be reduced, if subscribed through an agent.
- (6) The Agent will act on the subscriber's complaint about non-receipts and arrange for replacement or refund of proportionate amount for missing issues.

### Disadvantages:

- (1) When subscribed through an agent, it will not be possible to correspond with the publishers regarding the missing issues of periodicals in the absence of details of payment of subscription rates.
- (2) It is necessary to check the subscription rates claimed by the agent for each and every title with the publishers rates which consumes the time and energy of the staff.
- (3) The Agents will not be able to know about the non-receipts till they are intimated by the subscribers, since the publishers supply the periodicals directly to the subscribers. Hence some agents decline to undertake the responsibility for arranging reprints for the missing issues.
- (4) There are cases of some agents who have not remitted the subscriptions in time to the publishers leading to delay in the supply of periodical and resulting in incomplete volumes due to interrupted supply of the issues of periodicals.
- (5) Agents claim handling charges in case of periodicals published by learned societies and professional institutions, which do not offer agency commission.
- (6) Institutions will remain in the dark about the non-receipt of subscription amounts by the publishers till they are intimated by the latter.
- (7) The conversion rates for foreign currencies claimed by the agents have to be checked with the conversion rates circulated by the Good Offices Committee from time to time.
- (8) There are cases of subscription agents who created complications by refusing to take responsibility over claims for missing issues in violation of the agreement. In such cases the execution of bond is no remedy unless supported by security deposit.
- (9) The subscription agent has to be appointed after calling for quotations and selecting the lowest. The work involved in calling for quotations and appointing the agent will take much time resulting in the delay of payment of subscriptions which effect the regular and prompt supply of periodicals.
- (10) Change in the administrative set-up and subscription agents cause interruption and sometime complete stoppage of supply.
- (11) Normally the lowest quotation is accepted, but it may prevent the selection of a reliable agent.

The necessary step to get over the above mentioned difficulties would be to set up a Government sponsored centralised agency which can function with service motive rather than profit motive. State Trading Corporation with a big organisational set-up may be able to cope with the task of subscribing to various libraries in India and also act as a check over the unscrupulous subscription agents exploiting periodical trade. The S.T.C. equipped with adequate and trained personnel will offer better service to the libraries than the private trade agents.

### 17.5.4 Efforts of State Trading Corporation(S.T.C.)

Due to trade's failure to handle subscription to periodicals efficiently, a large amount of valuable foreign exchange is lost every year as many big libraries have chosen to subscribe through foreign vendors and publishers directly. To remedy the situation, the S.T.C. can play its role effectively by procuring the publications where trade has hopelessly failed. The S.T.C. can

function properly provided that it has a separate machinery to attend to this type of work. The following are the advantages of subscribing through a centralised agency (S.T.C).

**Advantages:**

- (1) Procurement of periodicals through the S.T.C. would eliminate the fear of embezzlement of library funds resorted to by agents.
- (2) It would avoid audit objections.
- (3) Since there will be a good proportion of common titles and common publishers among the orders placed by various libraries as a centralised processing unit it would ensure economy as well as streamline the ordering process.
- (4) Official exchange rates are only charges and there are no handling charges in some cases.
- (5) There will be no need to correspond for getting invoices and obtaining bank drafts for remittance to foreign publishers. Further, expenditure on postage is saved to some extent.
- (6) Verification of subscription rate is not essential.
- (7) There will be no need to ask for quotations from the open market.
- (8) The safety of the money which libraries pay in advance would be ensured.
- (9) Assuming, the government machinery to be efficient, the payment will reach the publishers in time and there is no chance of the first few issues missing.

**Disadvantages:**

- (1) The S.T.C. offers no discount to subscribers.
- (2) The S.T.C. disowns the responsibility for getting replacement of missing issues.
- (3) The S.T.C. will not arrange refund for the issues lost in transit leading to audit objections.
- (4) In case of non-receipt of the issues of periodicals, the library has to correspond with the publishers directly which increase postal expenses and clerical work.
- (5) As is a Government organisation with a cumbersome procedure, there is bound to be delay in forwarding payments to publishers in time. This will mean non-receipt of the first few issues of the Journals.
- (6) The S.T.C. lacks adequate and experienced staff, well conversant with periodicals trade.

To overcome these drawbacks, a centralised agency should have a separate division manned by competent staff to deal with the acquisition of periodicals. It should function in an effective manner. Computerisation will bring down the cost in due course.

To solve the problem of missing issues, the centralised agency should get all the periodicals subscribed from the publishers at its office for distribution to the subscribing libraries and for dispatch. Further, the agency should work out a system to speed up the delivery of periodicals by Air Mail, even at extra cost to overcome the delay of three to four months, which occurs if sent by surface mail by the publishers. The centralised agency should send reminders for missing issues and arrange refund for unsupplied issues.

### 17.5.5 Role of Good Offices Committee

#### i) Constitution and Functioning of the Good Office Committee:

The Committee consists of representatives drawn from the Government of India, Indian Library Association, Jawaharlal Nehru University and Jamia University Libraries, ICAR, INSCOC, DESIDOC, CSIR, IIT, National Medical Library, Federation of Publishers and Book Sellers Association of India and University Grants Commission. Representatives from Integrated Finance Cell and Books promotion wing of the Ministry of Education, Culture and Social welfare participate as observer members.

#### ii) Functions:

The Committee meets at regular intervals and after taking into consideration the fluctuations in the currency rate, decides on rates of conversion which are widely circulated amongst the libraries all over India either directly or through the book sellers, thus dispensing with the necessity of calling for tenders or quotations.

The Committee is housed in the Central Secretariat Library, Department of Culture, Government of India, New Delhi.

#### iii) Usefulness of Good Offices Committee:

Good Office Committee plays an important role in laying down proper terms and conditions for the supply of periodicals and for registering approved agents so as to standardise practices which will help to solve the problems faced by the libraries. This will eliminate the procedure of calling for quotations for the selection of a subscription agent. Accounting procedure will also get simplified and in code of ethics laid down by the agents to get their due profits. Libraries will get improved service from Indian Vendors. The agents can undertake on a cooperative basis bulk lifting of periodicals from abroad which will not only minimize their over head costs but also improve their services. The problem of missing issues can be overcome thereby to a large extent. The subscribing libraries will be glad for getting regular and timely supply of periodicals.

### 17.5.6 Problems of Subscription to Foreign Serials

#### i) Advance Payment:

Subscription to the periodicals has created problems on account of advance payment of subscriptions. It is found that in certain cases some Indian Subscription agents have either failed to transmit the subscription amounts to the publishers in time or have not paid subscriptions at all resulting in non-receipt of the issues of the periodicals which leave gaps in periodical collections. To safeguard the money paid in advance, the bank guarantee may be insisted upon.

#### ii) Bank Guarantee:

The agent selected to handle subscriptions is required to submit a bank guarantee equivalent to the amount of subscription to be paid in advance. The guarantee is in force till the agent fulfils his obligations according to his contract. In case the agent within the guarantee period has not transmitted the subscription amounts to the publishers, an equivalent amount has to be recovered through the bank standing guarantee on behalf of the agent concerned. But most of the Agents will not agree to this condition.

### iii) Banking Certificate Regarding Payments:

Another method to ensure the safety of advance payment is to insist on the submission of publishers paid invoices in support of the remittances made to the publishers or a certificate from the bank about the actual payment made by the concerned agent to the publishers on behalf of the library within thirty days of the date of payment made by the library. Though the work in the library increases in this regard, the library is assured of the remittances made to the publishers.

### iv) Discount:

A few agents offer discount to big libraries spending lakhs of rupees annum towards the subscription of periodicals to attract business. The discount offered will depend upon the percentage of discount which the agents get from the publishers as agency commission. There are certain periodicals published by learned societies and Government institutions which do not offer sufficient trade discount for which agents will charge them as "No discount issues." Hence before appointing the subscription agent, the discount and no-discount items have to be ascertained.

### v) Handing Charges:

In the cases where publishers offer no discount, the agent has no other go than to claim extra-charges to cover the expenditure over establishment and postal charges in the form of service charges known as 'handing charges'. Hence before appointing the agent, it is to be confirmed which of the items come under the category necessitating payment of handing charges and what percentage over and above the subscription rates has to be paid in addition to the subscription amount by way of handing charges.

### vi) Postal Charges:

In most of the cases, the subscription rates are inclusive of postal charges. For instance, in the case of periodicals published by the American Institute of Physics, the postal charges for inland and overseas subscribers are mentioned separately apart from subscription rates. In such cases, the claims of the agents for postal charges have to be honoured after checking with the postal rates announced by the publishers.

### vii) Conversion Rates (Exchange Rates):

The Subscription agencies claim subscription rates in Indian currency on the basis of conversion rates for different foreign currencies, in the case of foreign periodicals. It is likely that the agents may claim at higher rates of exchange than the official ones. Hence the agents before appointment should be made to give an undertaking to the effect that they would claim at the official rates of exchange stipulated by the Government from time to time which would eliminate excess claim. As Good Officers Committee is a recognised body of the Government of India, the agents have to claim at the prevailing exchange rates circulated by the Good Officers Committee from time to time.

### viii) Missing of Issues (Loss in Postal Transit)

The libraries face audit objections due to non-receipt of issues of periodicals. In the case of issues of certain periodicals sent by post, the postal wrappers are such (e.g. *Time* periodical) that they are likely to be separated from the contents during sorting in the post office if they are not handled with proper care. Further, there is the possibility of pilferage in the Sorting Office, since the periodicals have saleable value. The postal authorities will not entertain complaints for loss

of issues sent by ordinary post. The publishers do not send replacement copies for the issues lost in transit. Hence to solve this problem, a reliable subscription agent has to be appointed who will wither get replacement copies for missing issues or arrange to refund the proportionate cost for missing issues or credit notes for adjustment of advance which will eliminate audit objections. The second method is to have a centralized agency like the S.T.C. to arrange for bulk lifting of multiple copies of the periodicals on behalf of various subscribers in India and to supply them in big bundles to subscribers to avoid loss in transit.

**ix) Refund:**

In the case of missing issues the publishers will not refund the proportionate cost, if subscribed directly. Hence a reliable and reputed agent has to be appointed who can arrange for the refund of the proportionate cost towards the loss of issues in transit in case replacement copies of the issues of periodicals were not received. The recovery of cost for non-receipts will eliminate audit objections.

**x) Time Factor:**

The foreign periodicals which are subscribed to are supplied by surface mail which takes three to four months to reach the subscribers in India after their publication. Thus the purpose of subscribing to the periodicals is defeated, since the users in Indian libraries will come to know of the latest developments in their respective subject fields only three or four months after their foreign counterparts. Hence to serve the users information needs, the Institutions have to make arrangements to air lift at no extra cost at least the important periodicals on cooperative basis to avoid delay in transit.

**Self-Check Exercise-3**

What are the various methods of subscribing foreign current journals ?

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

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

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## 17.6 PROCESSING OF SERIALS

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In the case of university libraries and research institutes where a thousand or more of periodical titles with different frequencies of publication, viz, Dailies, Weekies, Fortnightlies, Monthlies, Bi-monthlies, Quarterlies, etc., are on the subscription list involving advance payments amounting to lakhs of rupees per annum. Therefore, it is essential to develop the necessary system to record receipt of the issues of the periodicals as and when received, to intimate the non-receipts, to send prompt and periodical reminders claiming replacement of missing issues to take action for the recovery of the proportionate cost of the unsupplied numbers, if the

replacement copies are not available. This necessitates the maintaining of permanent records for registration of journals. It may be either Register system of Ledger system or Three Card system or Kardex system of Remington Rand of India depending upon the type of the library and the number of periodicals subscribed by it. The recording of receipts and accounting for the recovery of proportionate cost over unsupplied issues from the supplier will enable the librarian to satisfy the auditors through the proper maintenance of records.

On receipt of supply, the receipts have to be entered in the periodicals register in the respective columns and their covers and other pages are stamped on as per the library policy before displaying them on the periodical tables for the use of readers. As and when the current numbers are received, they will be immediately displayed previous numbers in the respective pigeon-hole racks. When all the issues of a volume of a periodical are received including the index, the volume will be bound. The bound volume of the periodicals like books will be accessioned, classified, catalogued and sent to the stacks for shelving and preservation for the use of readers in view of the importance of the periodicals in communicating the latest developments in different fields of knowledge to research, the periodicals or serials section is considered to be the important section in the Library.

### 17.6.1 Method of Recording Receipt of Periodicals

Different methods are available for recording receipt of the issues of periodicals. The methods used for recording receipt of the periodicals are (1) Register system, (2) Ledger system, (3) One card system, (4) Three Card system, (5) Kardex.

#### (1) Register System :

Register system may be adopted in a small library subscribing to one or two dozen periodical titles. It serves as a permanent record of receipt to account for the payments made towards the supply of the issues of the periodicals subscribed to record for audit. The periodicals may be entered in the Register in an alphabetical order or according to the frequency of their publication. Under this system the Monthlies, Quarterlies and Half-yearlies may be entered on one page. The specimen page of the periodical register for Monthlies, and Quarterlies is shown in the following page.

Illustration-1: Specimen page of the Periodicals Register (Journals)

NAME OF THE ..... PLACE ..... FOR THE YEAR .....

Sl No.	Title	Volume and Year	Publisher	Supplier	PERIOD		Bill No. Date Subscription Amount	Remarks
					Jan, Feb. ....	Dec.		

Illustration - 2: Specimen page of the Periodicals Register

( For dailies and weeklies)

Name of the Library ..... Place .....

Title .....

Publisher .....

Supplier .....

Volume and Year .....

Bill Number and date .....

Subscription amount .....

Sl. No.	Month	DAYS					Remarks
		1	2	3	4	..... 31	
	Jan.						
	Feb.						
	Mar.						
	Apr.						
	May.						
	Jun.						
	Jul.						
	Aug.						
	Sep.						
	Oct.						
	Nov.						
	Dec.						

As soon as the issue of a periodical is received in the library, the date of its receipt is entered in the month column of the concerned periodical title with the initials of the assistant recording the entry. The ownership stamp of the library is put on the title cover of the periodical and other pages inside the periodical as per the policy of the library before displaying the same for the use of readers.

**(2) Ledger System**

The Ledger system is suitable for libraries. Under the ledger system the periodicals received in the library are entered in a permanent ledger in alphabetical or numerical order allotting one or two pages to each periodical. If the numerical order is followed, then the index to the periodical titles subscribed to must be provided at the beginning of the ledger. The specimen page of the ledger is given below.

Title .....		Payment				
Publisher .....		Volume of Year	Annual Subn.	Bill number and Date		
Supplier .....						
Periodicity .....						
Order Number and Date .....						
.....						
Volume & Year	JAN	FEB	MARCH	.....	DEC.	Remarks

**(3) One Card System**

It becomes difficult to ascertain which of the subscribed journals are supplied regularly. So a handy card system has been adopted. One card system may be used by libraries subscribing to about one hundred periodicals. If this number goes beyond this limit, this system may not be found suitable. In the one card system, blank cards of 6" x 4" with the following columns are used:

Name of the library ..... Place .....

Title ..... Frequency of publication .....

Publisher .....

Supplier .....

Volume and Year	Jan.	Feb.	March	April	May	..... Dec.
Vol. 2 1986						
Vol. 3 1987						
Vol. 4 1988						
Vol. 5 1989						
Vol. 6 1990						
Vol. 7 1991						
Vol. 8 1992						

VERSO OF THE CARD

Title .....

Volume and Year	Bill Number Date	Subscription Amount Rs.	Vocher No and date	Reminders Sent	Bound upto	Remarks
Vol. 2 1986						
Vol. 3 1987						
Vol. 4 1988						
Vol. 5 1989						
Vol. 6 1990						
Vol. 7 1991						
Vol. 8 1992						
Vol. 9 1993						

At the time of placing orders, one card is prepared for each new periodical ordered. In the case of renewal the columns on the verso of the relevant cards are filled in. When the periodicals are received by post the addresses on the wrappers are verified before opening the packets. The wrappers covering the periodicals will be separated only when they are addressed to one's library. The issue of the periodical received will be noted in the respective column against the particular volume and year of the concerned periodical card. The date of receipt and also the initials of the assistant recording the entry will be noted simultaneously. These cards are arranged alphabetically in a tray. For example; if the magazine belongs to the month of February 1994 is received on the 15th March 1994, the serials assistant will make an entry in the February column only mentioning the issue number and also the date of receipt.

If the packet does not relate to one's own library, the packet will be treated as a wrongly delivered packet and returned to the post office. The particulars of payment of subscription are entered in the verso of the card in the relevant columns. In case of non-receipts, the numbers and dates of reminders for unsupplied issues are noted on the verso of the card in the appropriate columns. This is necessary because it is laborious to scan through all the cards to find out the unsupplied issues of the periodicals for sending reminders for non-receipt and to keep a watch over their supply.

#### (4) Three Card System

Dr.S.R.Ranganathan introduced the Three Card System in the Madras University Library. For prompt receipt of current issues of periodical publications the staff has to be vigilant. To ascertain the unsupplied issues of periodicals, there is a need to have a system that can assist in finding out automatically the non-receipt among the hundreds of subscribed periodicals for sending reminders to the vendor without delay for arranging supply of unsupplied issues. The Three Card System is found useful and as requiring only minimum staff working well in the Madras University Library

##### (i) Structure and Function of three Cards:

The three Cards used in this system are (1) Register Card, (2) Check Card and (3) Classified Index Card. In small libraries only the first two cards are used. But in big libraries all the three cards are used. The size of the cards normally are of 12.5 x 7.5 cm (5" x 3"). To identify these cards easily the cards printed in different colours like Blue, Pink and Green are used. The periodical control record is maintained mainly on three cards.

The specimen of the Register card is given here :

##### Register Card :

The Register Card records information about the title of the periodical subscribed to, its publisher, vendor, periodicity, order number and date, volume or year, bill number and date of receipt, etc. The Register Card is a centralised main record. Register Cards are arranged alphabetically by the title of the periodical concerned.

Title				Payment	
Vendor				Volume or Year	Vocher Number Date
Class Number	Period in weeks Grace weeks	Order Number and Date		Annual Subscription	
Volume Number Issue Number	Date of Publication	Date of receipt	Volume Number and Issue Number	Date of publication	Date of receipt

The Register Card performs the following functions:

- 1) These cards provide complete and authentic data about receipt and non-receipt of the issues of the periodical titles subscribed by a particular library.
- 2) These cards furnish information about annual subscription rates and details of payment during a particular year (or Years).
- 3) These cards disclose whether a particular issue is received in time or supplied late.
- 4) These cards furnish information about the change in the name of a periodical publication or its merger with an other periodical title.
- 5) Since these cards are arranged alphabetically, it will be easy to inform whether or not a given periodical is being subscribed by the library.

#### Check Card (Due Date Card)

The specimen of the Check card is given below:

Title				Period Grace weeks			
Volume Issue Number	Due week	Week of Reminder	Libn Initials	Volume Issue Number	Due week	Week Reminder	Libn of Initials

The columns giving volume and issue number, reminder date and librarian's initials are repeated at the back of the Check Card.

The Check Card is regarded as an important part of this system since it helps to check automatically receipt or non-receipt of a particular issue of a periodical and to send reminders for the non-supply of the issues without loss of time. This card contains valuable information required to claim the unsupplied issues. It furnishes information about the title, publisher, agent, periodicity, volume and issue number, date of payment, etc. The cards are sorted out according to their periodicity.

The weeklies and fortnightlies are arranged alphabetically behind the Due Week Guide cards. Reminders are sent to the publishers or agents, as the case may be, every week about non-receipts.

The Monthlies, Bi-monthlies, Quarterlies and others are arranged behind a Due-Month in an alphabetical order. The cards also include those for each month of the year from January to December plus special guide cards such as those indicating irregulars and 'urgent' for irregular publications and long overdue issues respectively.

The mechanism of this automatic check is based on the division of the year into sixty weeks, a guide card for each week. The guide cards will be numbered as 1.1, 1.2, 1.3, 1.4, 1.5, 2.1, 2.2, .. 2.5..12.1.. 12.5. The check cards are arranged in an alphabetical sequence behind individual guide cards arranged in the numerical order.

Every time a new periodical issue is received, the due date cards are shifted to the next due dates calculated according to its periodicity. Cards which do not get shifted to the next due date for the month indicate the overdue issues and the need to send reminders to the agents about non-receipt. The method does not work in the case of the periodical of which not even a single issue has been received for the current year. To overcome this difficulty, an additional control is established through colour indicators posted on the registration cards (i.e., Red signal signifying non-receipt of all the issues during the current year, yellow indicator to denote non-receipt of the issues due to delay and complications in payment and blue indicator to denote those long overdue requiring special attention. In the event of non-receipt of issues due even after three reminders, a separate letter has to be addressed to the agent to arrange for the unsupplied issues.

The check card performs the following functions:-

1. It helps to keep a watch on receipt of different issues of the periodicals and reminds the person handling the system as and when a particular issue becomes overdue, thereby indicating the need for sending a reminder.
2. As and when the reminders are sent, the dates on which reminders are sent are noted in the respective cards.

## Classified Index Card (Subject Card)

The specimen of the classified index card is given below.

### CLASSIFIED INDEX CARD

Class No.	Annual subscription	Periodicity
Title		
Vendor		
Publisher		
Vols. available		
Indexes, etc.		
Supplements, etc.		

The classified index card contains the following information: Class Number, Annual subscription, periodicity, title, publisher, etc. The classified index card provides additional information regarding the periodicals on a particular subject in the holdings of a library including supplements and indexes. These cards are arranged in classified sequences based on class numbers.

The classified index cards perform the following functions:

1. As these are arranged by class numbers they indicate the periodical titles which are received by the the library in a given subject.
2. Since these cards furnish information about the volumes of periodical titles available in the library, it will be possible to know what the volumes or gaps in collection are.

#### (ii) Routines Involved in Preparing the Cards :

The three cards discussed above have to be prepared for each periodical at the time of placing orders. After filing the cards with the requisite information, they will be arranged in separate sequences as stated in the fore-going pages. On receipt of the supply of the issues of the periodicals by post the address mentioned on the wrapper has to be verified. The wrappers have to be removed only if the address is correct. The periodicals will be collated before entering in the Register cards. If the periodical received is found defective and spoiled, the publishers/vendors will be requested to replace it with a good copy. The issues of the periodical will be entered in the respective Register cards immediately on receipt, after taking it out of the tray. After making the entry, the Register cards will be put back at the right place.

The date of publication and the date of receipt are recorded on the Register card in question and the week column of the check card concerned is filled in after taking it out of its previous position and is then shifted to the next due week. The year is divided into sixty weeks because some months have 31 days, i.e. the 5th week in which certain issues of periodicals fall due and it is easy to check if the 5th week is also recorded, i.e., altogether 60 weeks). One day in a week say Monday or any other day may be fixed for checking the cards.

The number of the guide cards and the shifting of the check cards depend upon the frequency of the periodical in question. If the publication is a weekly one, the next due week will be 2.4 if the previous number is 2.3. In the case of a fortnightly publication, the next number will be 2.5

and in the case of monthly magazine, the next due date will be 3.3. If the periodical is a quarterly one, the next due date will be 5.3 (the first figure denotes the month in which the number is due date while the second figure after the dot denotes the week number). When a reminder is sent for an issue of a periodical which has not received, the issue number is mentioned in the appropriate column of the check card which is then shifted to its next due week.

Some grace days are generally allowed before issuing reminders say one week for weeklies, a fortnight for fortnightlies, four weeks for monthlies and eight weeks for quarterlies in view of postal delays.

### iii) Advantages of Three Card System :

The three card system has got many good qualities. In view of this many libraries have adopted this system.

- 1) By its prompt service, money and energy of the staff members and readers are saved.
- 2) The method is flexible enough to accommodate any change required.
- 3) As it is an efficient system of maintaining periodicals, accurate information is provided.
- 4) This system is a methodical and scientific one as proper mechanisms are suggested for doing particular jobs.
- 5) The system is simple, efficient and economical to maintain.
- 6) It is a comprehensive, accurate and self-sufficient system because it is equipped with alphabetical and classified indexes.
- 7) Enquiries pertaining to the periodicals are replied very expeditiously with the aid of alphabetical and Classified sequences of Register Cards and classified cards respectively.
- 8) The check cards facilitate the issue of automatic reminders for the unsupplied items which save the time of the staff.
- 9) It indicates overdue issues and make it convenient to send reminders to the publishers in time and with least effort.
- 10) The check cards and colour indicators ensure a complete control over the matters on non-receipt of the issues of periodicals.
- 11) It enables to find out quickly which is the latest issue of a periodical received in the library and when the next issue is due. The classified index cards provide information about the periodicals in a given subject.
- 12) Due to separate sequences of weeklies, fortnightlies and others, it is possible to pay more attention to the periodicals with greater periodicity than to others.

### Disadvantages :

- 1) It is laborious and time consuming involving additional work in shifting the due date cards.
- 2) There is the possibility of the cards being misplaced or lost due to removal or insertion of card at the time of registration of the issue of reminders.

- 3) In the event of loss or misplacement of cards, information about the periodicals recorded in those cards will not be known which affect the functioning of the system.
- 4) The cards have to be preserved carefully and filed properly for effective functioning.
- 5) The information recorded on these cards must be accurate to ensure the smooth functioning of this system.

Considering that its advantages outnumber its disadvantages, the system is suitable for adoption in libraries.

**(5) Kardex :**

The Remington Rand of India has introduced an apparatus known as "Kardex" for keeping visible records of periodicals. It is made of steel. The Cabinet is approximately 10 ½" (breadth) × 24" (depth) × 20 ½" (height). Each Unit consisting of seven trays and holding a total number of 504 card holders has a sliding dust cover and locking device.

For each periodical title there are two cards, namely, Bottom Card and Top Card. The Bottom and Top Cards are available for replacement. Crimped signars and the said cards are supplied by Remington Rand of India.

**Bottom Card:**

At the time of ordering journals, one bottom card is prepared for each periodical with the title and other particulars typed or written on the lower portion of the said card. This card in addition to the usual information contains the following columns.

1. Library has
2. Library lacks
3. In bindery
4. Nature of binding

All these columns provide useful information about the journals. The columns, **Library has** and **Library lacks** enable the research scholar to know what volumes of periodicals are available and what are not available in the library collection. The card is fixed in the punched holes of the card holder and a plastic tab is put at the month, when the next issue is due. The tab falls down or sets get misplaced quite often. Therefore many libraries have abandoned the use of plastic tabs. The specimen of the bottomcard is given below.

Name of the Library ..... Subscription No. ....

Title ..... Periodically .....

Year	Volume Number	Jan.	Feb.	Mar.	..... Dec	T.P.I

Volumes per year:

Library has:

Library lacks:

Title ..... Jan Feb Mar Apr May June July Aug. Spt Oct Nov Dec.

Type along the dotted line, then fold back or detach the stub. The Bottom Card is useful for the following purposes:

1. Holdings of the Library.
2. Latest issue received in the library.
3. Gaps in holdings.
4. Location of the volumes and issues.
5. The plastic tab indicates when the reminder is due for those overdue.
6. Records of issues not received.

**Top card**

The top card is fitted opposite to the Bottom card. It lies on the verso of the next card holder in such a manner that when card holder for a given title is lifted, the cards, i.e., the Bottom and Top cards face each other.

This card serves the purpose of keeping record of payments made to dealers and provides information regarding the follow up action connected with the receipt of periodicals, i.e., issuing reminders and keeping a record of such reminders. It also serves as a classified card. It cannot serve all those functions performed by a card in the single card system because the 'single' cards are handy as they are arranged in a classified sequence. But the card in this system cannot be made to serve those functions because these cards are placed in the card holders opposite the bottom cards which are arranged in an alphabetical order. These cards are also printed on both sides and each of these contains the requisite information for 20 volumes as the card has 10 columns on each side for recording entries for Monthlies, Bimonthlies, Quarterlies, etc. The card contains the following information, Volume number, date of publication (year), date of receipt of bill, Voucher number, subscription amount along with date of payment and name of the agent.

**Specimen of the top card**

Volume No.

Date of publication

Date of receipt of bill

Voucher Number

Amount of Subscription

Agent

Volume Number

Date of Publication

Date of receipt of bill

Voucher Number

Amount of Subscription

Agent

Kardex as a method for recording the receipt of periodical publications is quite popular specially in large libraries, subscribing to a large number of periodicals. Modification of the Remington Rand Standard proforma is generally done by individual libraries for their kardex periodicals control. The Remington Rand of India takes the responsibility of printing the cards in accordance with the needs of the library.

In this system the cards are held in paper pockets with a transparent strip at the lower edge into which the bottom edge of the card on which the title of the periodical is usually typed may be inserted. Since these pockets in the tray are arranged in a slopping manner, it enables a person to scan at a stretch seventy two periodical titles and locate the required titles immediately. Since these cards are inserted into paper pockets the loss of cards is prevented. It also ensures the safety of these records, since the cabinet containing the tray has a locking mechanism. Owing to the use of different plastic signals for periodicals control, it is possible without much difficulty to know the overdue items for issuing reminders time for their replacements.

#### Self-Check Exercise-4

(a) List various methods of registering the receipt of periodicals.

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

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

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(b) What is 'Kardex' ?

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#### 17.6.2 Computerization of Periodicals Control

With the advancement of Science and Technology, the library routines of repetitive nature can be computerised. The increasing number of periodicals and the repetitive nature of work involved in establishing control of current periodicals justify the use of computers.

Speed and accurate processing are the common advantages of all computerised activities. Consistency and uniformity in the maintenance of records can be achieved. In addition to maintaining the complete up-to-date information about each periodical, the stored data can be utilised for preparing reminders to the publishers for non-receipt of overdue issues, preparation of various lists i.e., list of subscribed periodicals, list of periodicals received on gift, agent-wise, country-wise, language-wise and subject-wise lists of titles in the holdings of the library.

### 17.6.3 Finance Control

Finance is the main source for acquisition of reading materials, appointment of staff and organisation of services in the library. For scientific management of library finance, it is essential to prepare an annual budget. The Budget is a financial statement of estimate of revenue and expenditure of an institution for a definite period of time. It is an instrument of financial control ensuring maximum utilization of the available financial resources.

#### i) Budget Allocation

The Budget of the library forms part and parcel of the Budget estimates of the parent institution. In the case of Budget Estimates it will cover the period from the 1st of April of a particular year to the 31st of March of the following year (i.e., 1-4-1994 to 31-3-1995). While submitting the budget proposals, the librarian has to estimate the financial requirements for books and periodicals, salaries of the staff, stationery and contingencies taking into consideration, the likely increase in staff salaries, in cost of books, enhancement of subscription rates of periodicals, etc.

The financial commitment in respect of periodicals is a recurring one, since the periodicals once subscribed have to be continued every year. On the basis of observation made by librarians, the subscription rates of the periodicals increase by 15% from year to year. While submitting budget proposal, the proportionate increase by 15% over and above the budget allotment of previous year has to be requested to meet the possible increase in subscription rates for the coming year. For instance if the expenditure incurred over subscription to current periodicals for the year 1993 was Rs.2.00 lakhs, the librarian should request the authorities to increase the budget provision for periodicals for the year 1994 to Rs. 2.3 lakhs to cover enhancement of subscription rates of periodicals by 15% for the year 1994.

The amount allotted to periodicals under Budget Estimates will be allocated department-wise on the basis of their requirements. This is intended to limit the expenditure to Budget allocation. The control of expenditure is possible through the maintenance of Bills Register.

#### ii) Maintenance of Bills Register:

The Bills Register for current periodicals will enable us to know the number and details of bills passed department-wise and the expenditure incurred during the financial year. The columns used in the Bills Register are such that they prevent us from spending beyond the allotted amount. It gives no scope for double payment, since the particulars of bills passed for payment are entered in the respective columns.

#### SPECIMEN OF THE BILLS REGISTER

Department :

Amount allocated:

Date of Receipt	Name of the Supplier	Bill No. and Date	When certified for payment	Date of payment	Amount			Remarks
					Passed for payment Rs.	Total Rs.	Balance Rs.	

### iii) Passing of Bills :

Subscription to the current periodicals are payable three months in advance (the last quarter of previous year) for the supply of the issues of current periodicals during the year as and when published. While passing the proforma invoices for payment, the correctness of the subscription rates claimed in the bills has to be checked with the publishers' renewal notices, periodical subscription catalogues and the announcement in the periodicals themselves.

Further, at the time of passing bills the details of the bill have to be entered then and there title-wise in the columns provided therein to watch the receipt of issues and recover the cost of unsupplied issues for which advance payments have been made to the agent. Similarly, the details of supplemental bill (undercharged bills) in respect subscription under-charged of passed for payment and credit notes received from the agent towards the refund of amounts for unsupplied issues have also to be regularly noted in the respective periodicals cards.

### iv) Issuing of Reminders, Monthly, Quarterly, etc.

Since the subscriptions to the periodicals are paid in advance, the supply position has to be periodically reviewed and timely action taken for sending monthly, quarterly and annual statements, of over due issues to the agents to ensure their supply or to claim refund of proportionate amounts if the replacement copies of missing issues are not available. This is made possible by the maintenance of the Register showing recovery of advance paid to the periodicals and also Kardex periodical control system with necessary modifications to suit needs of the individual libraries.

### v) Recovery of Proportionate cost for Unsupplied issues:

If the subscription agent fails to supply the over-due issues in spite of reminders and long correspondence, necessary action has to be taken to recover the proportionate cost of the unsupplied issues for adjustment to advance paid to the agent to account for the non-receipts and also to avoid audit objections at a later date in respect of non-receipts. The subscription agent will refund the proportionate cost of unsupplied issues of the periodicals through the issue of credit notes in the name of the institution. The amount mentioned in the credit notes has to be deducted while passing other bills of the agent for payment. The number, dates and amounts of credit notes deducted from other bills have to be entered in the columns of the respective periodical cards for adjustment of advance over non-receipts and to answer the audit queries at a later date.

## 17.6.4 Display and Preservation

For the preservation of current periodicals for future use, the volumes of current periodicals have to be bound, accessioned, processed and arranged systematically on the shelves.

### i) The Periodical Display Cum Preservation Rack

The rack contains pigeon-holes for preserving the back issues of periodicals and sloping shutters fixed to all the pigeon-holes for the display of current issues of the respective periodicals with a locking mechanism to avoid the loss of back issues of periodicals.

### ii) Binding of Journals

Before binding it is to be ascertained whether all the issues of the periodicals including the title page and index relating to a volume have been received. Only complete volumes have to be bound. In the case of binding of Journals; only such journals like subject periodicals which

are of research value are likely to find demand in later times need be leather-bound for the sake of durability. In the event of gaps occurring in supply affecting the continuity of a volume, the binding of that volume has to be delayed until all the issues are received. The back volumes which remain incomplete even after three years may be put together with ordinary binding to differentiate them from complete volumes. The spine of the bound volume of the periodical will bear the abbreviated title, volume number, year of publication and the name of the library for identification. For the sake of convenience in handling them, the volumes which are bulky have to be bound in two or three parts, as the case may be.

**ii) Accessioning of Journals :**

After binding, the bound volume of a periodical will be treated like a book and taken into the stock of the library. A separate (stock) accession register will be maintained in the library for bound back volumes of periodicals containing all the details relating to them. The accession numbers of those bound volumes will be noted on the back of the title pages and also in due pages adopted by the library, and at the same time the shelflist cards will be prepared for each of the back volumes accessioned and sent to the Technical section for processing.

**iv) Technical processing of journals:**

Like books the back volumes of the periodicals will have to be classified and catalogued for systematic arrangement on the shelves. Once a periodical title is classified and catalogued, there is no necessary to type catalogue cards for the subsequent volumes of the same periodical, since the same class number and catalogue cards can be used for making entries.

**v) Shelving of Journals:**

The bound volumes of periodicals will be arranged in a separate sequence in the stock are on volume number or yearwise as the case may be.

**Self-Check Exercise-5**

What are the advantages of computerizing Serials Control ?

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

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

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**17.7 SUMMING UP**

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The Serials are of various types published by learned societies, Government departments, and commercial firms. They may be issued with varied frequencies - weeklies, monthlies, bimonthlies, quarterlies, annuals etc. The serials may be acquired through subscription, membership and by

gift and exchange. Certain problems arise in respect of subscription to current foreign journals. State Trading Corporation (S.T.C.) of India has made some efforts to solve the problems faced by libraries in subscribing through foreign vendors and publishers directly, however, it failed as it lacked a separate machinery to attend to this complicated work of periodical subscription.

Among the different methods of registering the periodical receipt, the following five methods are used in our libraries: (1) Register system (2) Ledger System (3) One card system (4) Three Card system, and (5) Kardex. The Three Card system was introduced by S.R. Ranganathan and it has got many inherent advantages over other systems of registering the receipt of periodicals. Now a days libraries have started using computer for serials control.

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## 17.8 MODEL ANSWERS TO SELF-CHECK EXERCISES

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- 1) The factors that determine the selection of periodicals for subscription in a library are -
  - i) The scope of the library
  - ii) the financial resources of the library
  - iii) demands of the readers
  - iv) periodicals which the library is subscribing, and
  - v) whether the title is available elsewhere
- 2) The periodicals are acquired through
  - i) by subscription
  - ii) through institutional membership of societies and learned societies
  - iii) by gift
  - iv) by exchange
- 3) The methods of subscribing foreign current journals are
  - i) directly from the respective foreign publishers
  - ii) through foreign subscription agencies
  - iii) through the subscription agents in India
  - iv) through a centralized agency
- 4(a) The methods used for recording the receipt of the periodicals are
  - i) Register system, ii) Ledger system, iii) One card system, iv) Three Card system, and v) Kardex
- (b) 'Kardex' is an apparatus for keeping visible records of periodicals. It is made of steel and supplied by Remington Rand of India. The cabinet is approximately  $10\frac{1}{2}$ " (breadth) x 24" (depth) x  $20\frac{1}{2}$ " (height). Each unit consists of seven trays and holding a total number of 504 card holders. It has sliding dust cover and locking device.
- 5) The advantages of computerizing serials control are
  - i) Large number of periodicals can be handled with ease
  - ii) Consistency and uniformity in records
  - iii) Uptodate information can be provided
  - iv) Reminders about non-receipt or over-due issues can be sent automatically.

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## 17.9 ASSIGNMENT

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- (1) What are the problems that arise over subscription to current foreign periodicals in Indian libraries ?
- (2) What are the different methods in vogue in Indian libraries for subscribing to the foreign periodicals ? State their merits and demerits.
- (3) A centralised agency like the State Trading Corporation can solve most of the problems in respect of the acquisition of foreign journals. Discuss.
- (4) What are the different systems followed for Serials Control?
- (5) Given an account of the Three Card system and explain how it is suitable for serial control.
- (6) Explain the Kardex system of Serials Control.

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## **BLOCK-V: CIRCULATION AND MAINTENANCE**

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This block deals with circulation and maintenance work in libraries. There are three units in this Block (Unit Nos. 18 to 20)

Unit 18 deals with work and methods of circulation in libraries, various jobs of issue and return of books and other documents. Maintenance of records and registers preparation of circulation statistics, automated circulation systems etc are also dealt in circulation routines.

Unit 19 explains various collection maintenance methods, such as shelving, stock verification, weeding, etc in libraries.

Unit 20 deals with Binding and Preservation. Need and purpose, criteria for book binding, organisation of Binding department in libraries, tools and methods of binding and staff required have been discussed in this unit.

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## **UNIT-18 : CIRCULATION - WORK & METHODS**

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### **Contents**

- 18.0 Aims and Objectives
- 18.1 Introduction
- 18.2 Need for Circulation
- 18.3 Dr. S.R. Ranganathan's Views on Circulation
- 18.4 Lending Services
- 18.5 Factors in Planning Circulation Process
- 18.6 Functions of Circulation System
  - 18.6.1 Registration of Members
  - 18.6.2 Charging and Discharging
  - 18.6.3 Control Processes
  - 18.6.4 Inter - Library Loan
  - 18.6.5 Maintenance of Records and Statistics
  - 18.6.6 Miscellaneous Functions
- 18.7 Features of Circulation System
- 18.8 Types of Circulation Systems
  - 18.8.1 Day Book System
  - 18.8.2 Ledger System
  - 18.8.3 Dummy System
  - 18.8.4 Indicator System
  - 18.8.5 Temporary Slip System
  - 18.8.6 One Card System
  - 18.8.7 Two Card System
  - 18.8.8 Semi-Mechanical System
  - 18.8.9 Automated Circulation System
- 18.9 Summing Up
- 18.10 Model Answer to Self-Check Exercises
- 18.11 Recommended Books
- 18.12 Glossary

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### **18.0. AIMS AND OBJECTIVES**

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This Unit introduces the circulation work and its methods in libraries.

After studying this unit, you should be able to

- explain the need for circulation services;
- identify the factors that should be considered in planning circulation process;
- discuss the features of an ideal charging system;
- describe the various functions performed by the circulation section; and
- have an idea of the evolution of various circulation systems.

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## 18.1 INTRODUCTION

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Circulation section performs one of the most important activities of a library. It issues books to borrowers and receives back from them and maintains an accurate record of the transactions. Its importance also lies in the fact that a large number of users come into contact and interact with the staff manning the circulation desk. Courteous behaviour and helpful attitude of the staff at the circulation desk not only helps in building up the good image of the library but also encourages use of the library collection.

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## 18.2 NEED FOR CIRCULATION

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One of the basic functions of a library is to promote the use of books and other reading materials by users. This is mainly done by:

- offering facilities for reading books and other documents within the library premises; and
- lending of books and documents for reading at home.

The circulation section is responsible for the second function. Lending of books helps the readers who may not find time to read in the library. Such readers can borrow books from the library and read them at home at a convenient time. Lending of books not only promotes good reading habits outside the library but also beyond library hours. This facility is most likely to encourage more readers to use the library. In addition, the provision of borrowing facilities is helpful in minimising the problem of overcrowding in libraries, which normally have limited seating capacities. It is through the provision of borrowing facilities that libraries try to satisfy Dr. S.R. Ranganathan's first law of Libraries Science--Books are for use.

Circulation activity involves lending of books and other library materials, receiving them back from borrowers and maintenance of records of such transactions in a systematic manner. The organisation of a circulation section is based on factors such as size of the library, types of services offered and the degree of departmentalisation.

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## 18.3 Dr. S.R. RANGANATHAN'S VIEWS ON CIRCULATION

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According to Dr. S.R. Ranganathan, in libraries books are collected for Use, kept for Use and served for Use. All the technical processes and routines such as receiving suggestions for new books, acquisition, accessioning, classifying, cataloguing, shelving and circulation are carried on only For Use.

The paramount function of a library therefore is to provide maximum facilities to readers to use books.

Generally, the two sections of the library come in frequent contact with the readers: Reference Section and Circulation Section. While the reference section endeavours to bring the readers and the books together in a personalised manner, the circulation section is responsible for the operation of a suitable mechanism which encourages use of books by readers through home lending.

Often, readers judge the library on the basis of the performance of the circulation section and the attitude of the staff manning it. In fact, the reputation of a library depends, to a large extent, on the capacity of the circulation section to render effective and efficient service to its readers.

## 18.4 LENDING SERVICE

The number of books or other items allowed on loan to each member depends on various factors such as:

- category to which the members belongs (teaching staff, non-teaching staff, research scholar, student, etc.).
- total number of members
- size and nature of library collection
- book selection policies relating to acquisition of multiple copies of books
- period of loan
- availability of photocopying machine
- area covered by the library, that is, whether the majority of users are residents of surrounding localities or whether they are dispersed at far away places.

i) **Number of books to be issued:** The number of books issued to a member at a time is determined by the loan policy of the library. For example, in a university library which serves different categories of users such as students, research scholars, non-teaching staff and teaching staff the number of reader's tickets issued varies from one category to another. In this case, the students may be allowed to borrow three books at a time, research scholars 5 books, non-teaching staff 2 books and teaching staff 10 books.

ii) **Not to be issued books:** Reference books such as encyclopaedias, dictionaries, research dissertations are in constant demand and they are meant for consultation within the library only. Hence, these are normally not issued out on loan in most of the libraries. In addition to these, other categories of books such as rare books, out-of-print books, books in brittle condition and books in great demand are also not lent out.

iii) **Period of loan:** The period of loan differs from library to library. It is also determined by the loan policy of the library. The loan period varies from a single day to a few weeks or months, depending on the type of material borrowed. General books are issued for a fortnight or a month. Textbooks are lent for a much shorter period.

iv) **Overnight issue:** Some libraries offer overnight issue facility to its readers. In every library, there are certain books which should be available for consultation at all times within the library. Though these are not reference books, they are not issued under normal conditions as they are in heavy demand and in constant use. As a special case, such books are issued for overnight to those readers, who require to read them urgently, so as to enable them to read at home. In this method, the books are issued at the of closing of the library on the condition that they should be returned by the borrower on the following day, within an hour of the opening of the library. A member who fails to return the books within the stipulated period is not permitted to take advantage of this facility for a specified period. This is done as a punishment and to instill a sense of discipline among the library members.

### Self-Check Exercise - 1

What factors determine the number of books or other items issued out on loan to each member?

- Note: i) Give your answer in the space give below.  
ii) Compare your answer with the model answer give at the end of this unit.

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### 18.5 FACTORS IN PLANNING CIRCULATION PROCESS

Library management has to take into consideration a number of factors at the time of planning circulation process. Some of these are:

- Variety of materials
- Categories of members
- Nature of services
- Choice of charging system
- Personnel requirements

i) **Variety of materials:** A library acquires a variety of material such as books, periodicals, audio cassettes, video cassettes, films and microforms. For the utilisation of some of these materials, certain special equipment is required. The library management has to take into consideration the size of various library collections and their rate of borrowal at the time of planning circulation process.

ii) **Categories of members:** In a special library, the users are a homogenous group with specific fields of interest, which can be easily identified. On the other hand, in a public library the users are a heterogeneous group, that is, they belong to different social categories (like children, youth, adults, women, etc.), educational levels and have diverse areas of interest. Moreover, their purpose of visit to the library may differ from person to person. We have to plan the circulation process keeping these points also in mind.

iii) **Nature of services:** There are many questions relating to library service that require to be answered while planning circulation process. Should all types of library materials be allowed for circulation? Should audio-visual materials such as cassettes, films and gramophone records lent for home use or should their use restricted within the library? Should the library provide equipment necessary for using these audio-visual materials? What should be the loan period for various types of library materials and for different categories of users? What should be the renewal policy? Should the library collect overdue charges? If yes, by what method?

iv) **Choice of charging system:** This is one of the crucial decisions in the planning of circulation process. It has to be decided keeping in view the factors such as work load at the circulation desk, type of users, loan periods and information which the circulation system should provide.

v) **Personnel requirements:** Professional staff who are trained in library and information science are required for determination of basic policies and procedures and general supervision. The routine jobs of charging and discharging, renewals, etc. can be done by semi-professionals or even by clerical staff. The only essential requirement is that these personnel (semi-professionals or clerical staff) should have thorough understanding of the basic process of charging system and have a clear idea of library loan policies.

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## 18.6 FUNCTIONS OF CIRCULATION SECTION

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The functions of the circulation section are:

- registration of members
- charging and discharging
- inter-library loan
- maintenance of records and statistics
- miscellaneous functions such as maintenance of visitors register, property counter, checking at entrance and exit-point, etc.

### 18.6.1 Registration of members

Libraries lend out books and other reading materials to readers so that they can utilise and exploit the collection to a maximum extent. It is essential for any library to maintain a record of its registered borrowers. This is necessary for various reasons such as accountability, safety of books, sending reminders for overdue books and recalling books which are required urgently in the library. The registration of library members serves the following purposes:

i) **To identify the borrower:** Registration helps us to know the place of residence or working of the member so that reminders could be sent for overdue books or books required urgently for other members. By checking the membership form or card, the library staff can find out the address of the borrower.

ii) **To collect statistics for performance evaluation:**

Registration of members provides us statistical data that is required for measuring the effectiveness/usefulness of a library in terms of its services to the user community.

iii) **To find out the characteristics of borrowers:** Registration of library members enables us to estimate the percentage of population which has enrolled as regular members of the library. Also, we can get data on various categories of library members such as adults, children, youth students, males, females, businessmen, teachers, etc. This data is valuable at the time of book selection and collection development. By acquiring books which meet the needs of the various categories of users and which stimulate their interests, we can attract them to the library.

#### Registration procedure

At the time of registration, the person is requested to fill up the prescribed application form, which contains details such as name, present and permanent residential address, present official address, age, occupation, subjects of interest, name and address of the guarantor, etc. Application forms should preferably be in the form of a card (size 5" x 3") so that they can be arranged alphabetically in a tray. This alphabetical arrangement helps us to check the bonafides of any visitor and to gather information about any particular library member immediately. Some libraries, especially the public libraries, insist upon signature of the guarantor on application form. This is done to ensure check on delinquent borrowers.

After receiving the application form from the applicant along with his consent to abide by the library rules and regulations, the library assigns him/her a membership number. This membership number is noted on the membership form, membership card and borrower's tickets. The user is given a specified number of borrower's tickets as per the rules and a copy of the library rules and regulations.

In special libraries, the borrowing facilities are restricted to those working in their parent organisation. Academic libraries such as college and university libraries offer borrowing facilities to all members of the teaching and non-teaching staff and registered students. In public libraries, the membership is open to all and is free of cost. Generally in academic and public libraries, the members are required to pay a specified amount towards library deposit. This deposit is refunded at the time of cancellation of library membership.

### Self-Check Exercise - 2

Mention the three purposes served by member's registration.

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

ii) Compare your answer with the model answer given at the end of this unit.

### 18.6.2 Charging and Discharging

Charging refers to the job of issue of books to the readers and discharging pertains to the job of attending to the return of books. We shall discuss about these in detail in section 18.8.7

### 18.6.3 Control processes

To regulate the circulation of library materials and to prevent monopolisation of use of library resources by a few selfish individuals, certain steps are taken by the circulation section of the library. These are collectively termed as **control processes**. They include:

- renewals
- reserves or holds
- recall
- reminders
- overdue charges
- notifications

Let us discuss each of the above control process:

**i) Renewals:** Renewal is the extension of loan period by reissuing the same book to the same individual. Generally, a book is renewed only if there is no demand for the same from any other reader. Renewal can be done in person or by post/telephone depending on the policy of the library. The readers are expected to return the renewed book immediately if recalled by the library.

ii) **Reserves or Holds:** Sometimes the book requested by a reader may be issued out to some other person. In such cases, the reader fills in the reservation card and hands it over at the circulation desk. Reservation card contains details like call number, accession number, author, title of the book and the address to which intimation has to be sent on receipt of the required book. The counter assistant verifies the charged tickets and puts the reservation card along with the book card of the issued book. When the book is returned, the circulation record shows that the book is "on hold" for the reserving person. This "on hold" book is placed in a separate shelf and the person who had requested for it is informed about the availability of the book in question.

In academic libraries such as college and university libraries, normally there is a heavy demand for textbooks and other related materials. However, due to shortage of funds, the libraries cannot afford to buy too many multiple copies of these books to meet the demands for the same books by a number of students. Moreover, there is a need to maintain balance between the two conflicting needs: the need to acquire multiple copies of the same titles and the need to procure different titles to achieve variety on collection. In such circumstances, the library can effectively utilise the reserve or hold procedure to control the circulation of books.

iii) **Recall:** This involves calling back the book renewed/overdue so that another person who had requested for the same title can borrow it. After receiving a request from a reader for a renewed/overdue book, the circulation incharge sends a notification to the borrower requesting him to return the book immediately. As already stated in the above section, books are renewed on the condition that they would be returned to the library when recalled.

iv) **Reminders:** Some readers do not return the books on time. This may be due to many factors such as forgetfulness, selfishness, carelessness and inconsiderateness. The circulation staff are expected to send reminders promptly for overdue books at regular intervals. This is regarded as one of the most important functions of the circulation section. It is essential to prevent monopolisation of books by a few individuals and to allow reasonable opportunities to other readers to utilise the resources of library.

v) **Overdue charges:** Generally libraries impose fines for the late return of books. Such fines are called as overdue charges as they are collected only for those titles which are returned to the library after due. Overdue charges are meant to discourage individuals from keeping the books, which are in heavy demand, with them for long periods. Also, it is aimed at ensuring proper use of books and maintaining discipline. The library policy determines the amount of fine to be imposed and the mode of its collection.

The two most common methods for the collection of overdue charges are:

a) **Straight line method:** In this method, a fixed amount per day is imposed, say 10 paise per book per day.

b) **Sliding scale method:** In this method, the amount of fine imposed either increases or decreases gradually in course of time.

Normally, fines are cumulated upto a certain amount per book and then remain static at that maximum amount.

As for the collection of overdue charges, it may be done by issuing receipts or by keeping a conscience box. Collection of overdue charges through issuing receipts is considered to be a costly and time-consuming method. In the conscience box method, a small locked box, with a slit at the top for inserting money is placed at the issue counter. Those individuals who return

the books late drop the amount of overdue charge in the conscience box. At the end of the day, the money is taken out from the box and recorded in the cash register.

vi) **Notifications:** The success of a circulation section depends on its ability to send various notices to its members promptly and on time. Most of the control processes such as holds or reserves, recalls, fines/ overdue charges depend on this function. The process of notification is expedited if accurate and up-to-date records of registered members are maintained and if the library formulates clear policies relating to loan periods and overdue charges.

### Self-Check Exercise - 3

a) State the function of the circulation section.

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

ii) Compare your answer with the model answer given at the end of this unit.

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b) List the six items which constitute the "control processes" of the circulation section.

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### 18.6.4 Inter-library loan

In view of literature explosion and financial constraints, no library can claim to be totally self-sufficient, that is, it cannot assert that it is capable of meeting all the requirements of its users from its own document collection. At times, it may be required to borrow books and other materials from other libraries, both local and outstation. The term inter-library loan is used to refer to such loan transactions between two libraries and it is regarded as the earliest form of library cooperation. Generally, the circulation section takes care of inter-library loans.

Library networks involving participation of various libraries in cooperative programmes and union catalogues facilitate inter-library loan operations.

Inter-library loan operations may be discussed under two headings:

- borrowing
- lending

i) **Borrowing:** On receiving a request from the reader for a book not available in the library staff try to find out the library possessing the required book. In this task, union catalogues and union lists are very helpful. After identifying the library, a request is sent to it through a standard form or letter. As soon as the required book is received from the lending library, the reader is informed and book may be issued to him or he may be asked to refer to it within the library. At the end of the loan period, the book is returned to the lending library.

ii) **Lending:** When the request for a book on inter-library loan is received by the lending library, it checks its catalogue. If it is readily available in its collection, then it is sent to the borrowing library on inter-library loan. All the inter-library loan transactions are recorded in a separate register.

### 18.6.5 Maintenance of Records and Statistics

The circulation section has to maintain records properly as these provide statistical data about the number of books lent out, types of users, their borrowing pattern, popularity of particular books, etc. Some of the registers maintained by the circulation section are: members register, inter-library loan register, overdue charges register, suggestions register, gate register, etc.

Circulation statistics help the library in planning its acquisitions and reader services. In addition, these statistics are utilised in the compilation of annual reports.

### 18.6.6 Miscellaneous Functions

Normally, the circulation desk is located near the entrance/ exit-gate. Due to this fact, the circulation section is entrusted with the responsibility of maintaining gate register and property counter and checking at the exit point.

i) **Gate Register:** This is a complete record of the persons who visit the library. Every visitor to the library is requested to note down in a register kept near the entrance his/her personal details such as name, course/ designation, place of study/work, purpose of visit, etc. Gate register helps us to know about the library users their purpose of visit.

ii) **Property Counter:** Normally, users are not allowed to bring inside the library their personal belongings like bags, purses, books, etc. These are to be deposited at a place near the entrance known as **property counter**.

iii) **Checking at the Exit-point:** Generally, the circulation staff also perform the checking function at the exit point. They record the books that are issued out and prevent theft of books from the library.

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## 18.7 FEATURES OF A CIRCULATION SYSTEM

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A circulation system should have the capacity to provide answers to the following questions:

- i) who has taken out on loan a particular book and when is it due?
- ii) Which books have been issued out in various subjects on any date and what is their total number?
- iii) Which books are due on any particular date?
- iv) How many books have been returned to the library on a particular date?

In addition to the above, a circulation system should have facilities for renewal of books, reservation of books in circulation, recording of books lent to other institutions on inter-library loan and compilation of statistics.

The other desirable features of a circulation system are listed below:

A circulation system should

- help in having complete control over materials on loan without sacrificing speed and simplicity.
- provide an accurate record of books lent or returned.
- be economical in terms of staff, money and materials.
- be able to issue and take back books speedily without sacrificing efficiency.
- help in smooth flow of reader traffic at the circulation desk, that is, the adopted system should be able to charge and discharge books quickly thereby avoiding congestion at the circulation desk.
- require minimum preparatory work.

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## 18.8 TYPES OF CIRCULATION SYSTEMS

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**Circulation system** is a method for the issue and return of books in a library. It is also known as **charging system** or **circulation control system**. Normally, users prefer to borrow books from the library and read them at home during their leisure time. This fact had prompted the libraries to develop suitable methods for the loan of library books and other materials.

Various types of circulation systems have been developed over the years. The earlier systems include day book system, ledger system, dummy system, indicator system, temporary slip system and card system. Later systems comprise, among others, the following: photographic charging system, punch card charging system and computerised charging system. In India, ledger system and card system are followed in a majority of libraries.

In the following sections, a detailed account of the following circulation systems is given:

- day book system
- ledger system
- dummy system
- indicator system
- temporary slip system
- one card system
- two card system
  - Browne charging system
  - Modified Browne charging system
  - Ranganathan's Reader's Ticket, Book Ticket system
  - Newark system
- semi-mechanical systems
- automatic circulation systems

### 18.8.1 Day Book System

This was the first circulation system introduced in libraries. In this system, details such as date of issue, author's name, title of the book, name and address of the borrower, etc. are recorded in a register. This register was known as day register as all the books issued daily were recorded in it in chronological order (date-wise). When the book is returned, the librarian cancels the relevant entry in the register, puts his initials and records the date of return. A specimen page from the day register is shown below:

S.No.	Date of issue	Author and title of the book issued	Name and address of the borrower	Librarian's Initials and date of return	Remarks

#### A) Advantages:

- i) It provides a permanent record of books issued to the borrowers.
- ii) It is a simple system as all the transactions are noted in a register day by day.

#### B) Disadvantages:

- i) As the books are entered date-wise, it is difficult to know:
  - a) the due date of a particular book.
  - b) the number of books borrowed by a particular borrower.
  - c) the borrower of a particular book.

It can be used only in libraries where the number of borrowers and the number of books issued daily is very small.

### 18.8.2 Ledger System

In this system, a ledger (register) with numbered pages is used. Each borrower is allotted one or more pages and the necessary entries are made at the time of issue and return of books. An alphabetical index of the borrowers is maintained at the beginning of the register. This helps in locating the borrowers and issue details easily and quickly. A page from the ledger is reproduced below to give you an idea of the columns which are normally included in it.

Name of the borrower:						Page No.	
Address:							
Date of issue	Accession Number	Author of the book	Title of the book	Signature of the borrower	Due date	Date of return	Librarian's initials

At the time of issue of a book, the page assigned to the borrower is located with the help of borrowers index provided in the beginning of the ledger. Then the date of issue and particulars of the borrowed book are recorded. The borrower signs in the column against the particular entry and takes the book.

At the time of return, the borrowers index is consulted to find the page(s) allotted to the borrower and the corresponding entries of the borrowed book are cancelled.

**A) Advantages:**

- i) It enables us to know quickly the number of books borrowed by an individual reader.
- ii) It is suitable for a small library with limited number of borrowers.
- iii) It provides a permanent record of the books issued during a given period.

**B) Disadvantages:**

- i) It is very difficult to find out the due date of the required book and the number of books overdue. For such information one has to refer the entire ledger, which is a tedious and time-consuming process.
- ii) This system does not tell us easily who has borrowed a particular title.
- iii) It is time-consuming, both the members of the library staff and readers as a number of details have to be recorded in the register for each book borrowed.

### 18.8.3 Dummy System

As already mentioned, in the two circulation systems described earlier, namely the day book system and the ledger system, it is not possible to find out easily and quickly to whom a particular book is issued out. To solve this problem, a modified system known as dummy system was devised. In this, a small wooden or cardboard block of the size of an average book is utilised. Each such block was covered with ruled paper and details about the borrowed book like call number, author's name, title of the book, borrower's name, etc. were recorded on this paper cover.

At the time of issue of a book, the above particulars were noted on the paper cover of the dummy and the dummy placed in the exact location of the book on the shelf. In other words, whenever a book was issued out, its place was occupied by a dummy.

**A) Advantages:**

- i) With the help of the dummy we can know immediately to whom a particular book is issued out and when it is due.

**B) Disadvantages:**

- i) As the dummies are scattered throughout the shelves, it is not possible to say how many books are issued to each borrower and the due dates.
- ii) It does not provide information on the number of books issued on a particular day.

### **18.8.4 Indicator System**

This system consists of a large wooden frame having many pigeon holes. Blocks or pegs, representing books loaned out, are inserted into the pigeon holes. Call number of the book is written at each end of the block. One end of the block has blue background and the other red. Red indicates that the book is on loan. This system, which is suitable for a closed access library, uses a ledger for charging.

### **18.8.5 Temporary Slip System**

We have seen that dummy system cannot provide answers to the questions: How many books were issued on a particular day? This is because the dummies are scattered throughout the shelves.

To overcome this problem, a new system known as temporary slip system was devised. In this system, the particulars of each book and its borrower's number are recorded on a fresh slip. These slips are filed at the circulation desk in any of the following order: date-wise, alphabetically or by serial numbers of members. At the time of return of books, these temporary slips are either destroyed or given to the borrower as receipts for the returned books.

**A) Advantages:**

- i) This system helps to know the total number of books issued on a particular day.
- ii) If the temporary slips are arranged alphabetically by title, one can know to whom a particular book is issued out.
- iii) If the temporary slips are filed by due date, then we can find out the overdue books easily.

**B) Disadvantages:**

- i) It is time consuming as it involves preparation of a temporary slip for each issued book.
- ii) If the temporary slips are filed date-wise or by serial numbers of the borrowers, then it is difficult to know to whom a particular book is issued out.

### **18.8.6 One Card System**

This has evolved from the temporary slip system described in the last section (18.8.5). In this system, instead of a temporary slip, a permanent card made of tougher paper is used. This

card is known as a book card and it contains particulars of the book such as author's name, title, class number, author mark and accession number. The procedure for issue and return of books is similar to that of temporary slip system.

**A) Advantages:**

- i) As the cards are made of tough paper they can withstand wear and tear.
- ii) There is no need to prepare book cards each time a book is issued out. Generally, one book card is prepared for each book at the time of cataloguing and it is used till all the available space is over, thereby economising on stationery.
- iii) It enables quick issue and return of books thereby saving the time of readers and library staff.

**B) Disadvantages:**

- i) If the book cards are filed date-wise or by serial number of borrowers, then it is difficult to determine the borrower of a specific title.

### 18.8.7 Two Card System

In this system, the following two identity cards are used for different purposes :

- i) **Members-cum-borrower's ticket**—for identification of the members.
- ii) **Book Card**- for identification of the book.

The three most popular two card systems are:

- Browne Charging system
- Modified Browne Charging System
- Ranganathan's Reader's Ticket, Book Ticket Method
- Newark Charging system

#### **Browne Charging System**

This system is named after Miss Nina E. Browne, librarian of the Library Bureau (Boston, U.S.A.), who developed this system towards the end of the 19th century. It was not very popular in U.S.A., the country of its origin, but is widely used in Great Britain and India. It is considered as an efficient method for issue and return of books.

**A) Items Required**

**I. For the book**

a) **Date Slip:** Every book available for issue is provided with a date slip. This is a printed slip of the size 5" x 3" or 12.5 cm x 7.5 cm, which is pasted on the page facing the book pocket. The book pocket may be pasted either inside the front or back cover of the book. Generally, for books which are not to be issued out like reference books, bound volumes of periodicals, rare books, etc., date slips are not pasted.

A specimen date slip is shown below:

Name and address of the library		
Call Number	Accession Number	
This book should be returned on or before the last date stamped below.		

b) **Book Pocket:** It measures 5" x 3" and is pasted either inside the front or back cover of the book. It is meant for keeping the book card. A specimen of the book pocket is illustrated below.

Name of the library
Brief rules of the library
1.
2.
3.
4.

c) **Book Card:** For each book, one book card is prepared. Book card is made of tough paper, measures 4" x 2" and may be plain or ruled. As it is supposed to identify the book, it contains particulars such as call number, accession number, author and title of the book. A specimen is shown below.

Call Number		Accession Number
Author		
Title		

## II. For the borrower

a) **Borrower's tickets or pockets:** These are made of manila or tough paper. They measure 3" x 2" and are in the shape of a pocket with opening on two sides, namely, upper edge and right edge. It carries details such as name and address of the borrower, his membership number, date of expiry of membership, signature of borrower, signature of the librarian, few library rules and library emblem. A specimen is shown below.

Name and address of the library	
Name	S.No.
Address	
Date of expiry of membership	
Borrower's signature	
Librarian's Signature	

The number of borrower's tickets or pockets issued to a member depends on the number of books he is eligible to borrow. For example, if a member is entitled to borrow four books at a time, then he is given four borrower's tickets or pockets.

### III. For Counter Staff

#### A) Items Required

- a) Registration forms/cards of borrowers
- b) Borrowers tickets/pockets
- c) Date stamp and ink pad
- d) Wooden charging trays
- e) Date guide cards
- f) Reminder cards, reservation cards, fine receipt book, fines register, printed standard forms for correspondence and preparation of circulation statistics.

#### B) Charging

- i) The reader presents the required book for issue along with borrower's ticket/pocket.
- ii) The circulation counter incharge takes out the book card from the book pocket of the book and inserts it in the borrower's ticket. The book card and the borrower's ticket together are referred to as 'charge'.
- iii) Then the counter incharge puts due date stamp on the date slip and gives the book to the reader for taking out of the library. This whole process of issuing a book is known as charging.
- iv) At the end of the day or at periodic intervals, these charged tickets are sorted and filed behind the due date guide in the charging tray.

#### C) Discharging

- i) The borrower presents the book he wishes to return at the circulation desk. The circulation incharge checks the due date stamped on the date slip and other particulars of the book. Then, he locates the charged borrower's ticket behind the due date guide and removes the book card from the borrower's ticket. He replaces the book card in the book pocket of the returned book and hands over the borrower's ticket to the borrower. This process of removing the charged book card from the borrower's ticket is called **discharging**.
- ii) If the book is overdue (that is, returned after the due date) then overdue charges are calculated and collected as per the library rules.

#### D) Advantages

- i) This is a simple and time-saving system. This is because the signature of the borrower is not necessary either at the time of issue or return. In addition, as the particulars of the book are mentioned on the book card, there is no need to copy these particulars at the time of issue.
- ii) It enables reservation of books.

- iii) Circulation statistics can be compiled easily and without any loss of time.
- iv) As the book cards are arranged behind due date guide cards, we can send reminders to overdue books promptly. Even the overdue charges can be calculated with ease.
- v) Books can be issued quickly as only one date stamp needs to be put on the date slip for the issue of a book.
- vi) A complete record of the borrower is available at the circulation counter.
- vii) If the borrower's ticket is in the charging tray, it indicates that a certain book was borrowed by a reader whose name appears on the borrower's ticket.

#### E) Disadvantages

- i) This system fails to tell us easily
  - a) to whom a particular book is issued and when it is due.
  - b) how many and which books were issued to a particular reader.

This is because all the charged tickets are filed date-wise however, one can check all the charged tickets to find out the above information but takes a lot of time and energy.

- ii) If the charged tickets are lost, then it is very difficult to identify the books issued out as there is no permanent record.
- iii) During rush hours, the charged tickets may slip down or be lost because of quick issue of books.
- iv) There is a possibility of misuse of borrower's tickets and wrong charging of books. A person may bring a borrower's ticket belonging to some other person and get a book issued out against that ticket.
- v) If a wrong book card is placed in the book pocket of a book, then there is scope for wrong charging of that book.
- vi) It is very cumbersome to reserve a book as we have to check all the charging trays for locating the book under issue.
- vii) This system does not provide any record of the nature and number of books borrowed by a reader previously.
- viii) The charging trays require much space at the issue counter. In case of big libraries such as university libraries, state central libraries, etc. issue counter may become crowded with large number of charging trays containing thousands of charged borrower's tickets.
- ix) During rush time, the counter staff may not be able to file the charged tickets immediately. Thus, there is a high possibility of wrong filing if these charge tickets are not filed immediately.
- x) This system does not permit issue of extra books to the readers. This is because the number of books to which a reader is eligible is determined by the number of tickets issued to him.
- xi) Whenever a reader wishes to borrow another book after returning a book, then he has to spend a considerable amount of time. First, he has to get the issued book discharged at the returns counter and collect his borrower's ticket. Then, he has to stand again in the queue at the issue counter to get the book issued out.

### Self-Check Exercise-4

State briefly the major disadvantages of Browne charging system.

Note: 1) Write your answer in the space given below.

ii) Compare your answer with the model answer given at the end of this unit.

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### Modified Browne Charging System

We have already seen in the last section that the Browne charging system suffers from certain disadvantages. In order to eliminate or minimise a few of them, R.S. Naidu has suggested introduction of pass book system to supplement the borrower's tickets.

Browne charging system supplemented by pass book system is most suitable for adoption in Indian university libraries.

Pass book is issued to every borrower in addition to the usual number of borrower's tickets to which he is normally entitled. It contains on the first page the following columns:

Passport size Photo	Register No.
	Name of the borrower
	Address

On the remaining pages of the pass book, the following details are printed:

Accn. number	Call No.	Borrower's initials with date	Date of Issue	Due Date	Initials of the issue assistant	Date of return	Initials of the assistant at the return counter

#### A) Charging

- i) The borrower fills the columns in the pass book and presents it to the issue counter assistant along with his/her borrower's ticket.
- ii) The issue counter assistant records the due date and puts his initials against the entry in the pass book.
- iii) Then, he removes the book card from the book pocket and inserts it in the borrower's ticket to form the charge.
- iv) He puts the due date stamp on the date slip of the book and gives the book to the borrower.
- v) The pass books are arranged alphabetically by the names of the borrowers and the charged tickets are arranged behind due date guide.

#### B) Discharging

- i) The borrower presents the book to be returned at the returns counter.
- ii) The counter incharge picks out the pass book. Then, he removes the charged borrower's ticket with the help of due date and call number marked on the date slip of the book.
- iii) Counter incharge cancels the entry in the pass book, puts his initials and date of return. Then he removes the book card from borrower's tickets and puts it inside the book pocket. The borrower's ticket is returned to the borrower.

#### C) Advantages

- i) It provides a complete record of the books borrowed and returned by a particular borrower along with dates of issue and return.
- ii) It prevents unauthorised use of borrower's tickets by persons other than bonafide library members. It checks subblending of borrower's tickets.

- iii) If any mistakes are committed at the time of charging, we can correct them with the help of entries in the pass book.
- iv) The entries in pass book offer statistical data such as nature and number of books borrowed, etc. This information is helpful in determining reader's interests.

**D) Disadvantages**

- i) It involves additional work both for the borrowers and library staff.
- ii) It requires more time.

Browne charging system supplemented by pass book system is most suitable for adoption in Indian universities.

**Ranganathan's Reader's Tickets, Book Ticket Method**

This system, which is a modified Browne system, was introduced by Dr. S.R. Ranganathan in Madras University Library in the late 1920s. It was adopted by many university and special libraries in India. With an idea of achieving speed and accuracy in charging and discharging, the following modifications were made :

- i) The book card was changed into a pocketed form and the borrower's ticket into a non-pocketed form.
- ii) For collection of overdue charges, the conscience box was introduced.

The materials required, charging and discharging procedures are almost similar to that of Browne charging system. As a result, this system too has the same advantages and disadvantages of Browne system discussed in the last section.

**Self-Check Exercise-5**

What is the main characteristic feature of Dr. S.R. Ranganathan's Readers's Ticket, Book Ticket Method?

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**Newark System**

This system was introduced in the Newark (New Jersey) Public Library in 1900. It soon became highly popular among American libraries. It is a very simple and flexible system most suitable for all types of public libraries, both big and small.

**A) Items Required**

- a) **Date Slip:** It measures 13 cm x 11 cm and is pasted inside the front/back cover of the book. Due date is stamped on it at the time of issue of book. A specimen date slip is shown below.

Call Number	Accession Number
Name of the library	
This book is due on the date last stamped.	

- b) **Book Card:** For each book, a book card (size 5 cm x 10 cm) containing the following details is prepared: name of the library, call number, accession number, author and title of the book, vertical columns for the due date, borrower's registration number and borrower's signature. A specimen book card is given below:

Call Number	Accession Number				
Author					
Title of the book					
This book is due on the date last stamped.					
Due date	Borrower's registration number	Borrower's signature	Due date	Borrower's registration number	Borrower's signature

**Book Pocket:** It measures 5" x 3" or 7.5 cm x 12.5 cm and is pasted inside the front or back cover of the book. It holds the book card. A specimen of the book pocket is shown below:

Name of the library
Brief rules of the library
1.
2.
3.
4.

**d) Borrower's Card:** Each member is provided with a borrower's card containing details such as his/her name, address, registration number, date of expiry of membership and signature of the borrower. In addition to these, columns for recording the due date and date of return are provided. A specimen borrower's card is shown below.

Name of the Library			
Borrower's Name			
Address			
Registration Number			
membership			
Not transeferable			
The following titles were issued to me.			
Signature			
Due date	Date of return	Due date	Date of return

## B) Charging

- i) The reader presents the book he wishes to borrow at the issue counter along with his borrower's card.
- ii) The circulation counter incharge stamps the due date on the borrower's card, date slip of the book and the book card. He writes down the accession number of the book borrowed below the date due on the borrower's card. Also, he notes down the membership; registration number on the book card against the due date marked.
- iii) The book and borrower's card are given to the reader.
- iv) The book cards are arranged by call numbers behind date guide cards in the charging trays. Charging trays are made of wood or steel and measure 6" x 4".

## C) Discharging

- i) The reader returns the book and the borrower's card at the return counter. The counter incharge finds out the due date by checking the stamp on the due date slip of the book.
- ii) Then, the counter incharge locates the appropriate date guide and picks out the book card of the returned book with the help of call number and accession number.
- iii) The counter incharge puts the date of return stamp on the borrower's card and returns it to the reader.
- iv) Then, the counter incharge replaces the book card into the book pocket, thereby releasing the book from the charge".

## D) Advantages

- i) This system enables us to maintain a permanent record of books issued. This is not possible in Browne charging system.
- ii) As a duplicate record of books issued out is maintained on borrower's card, the problem of loss of issue records due to reasons such as misfiling, slipping, etc. is not very severe.
- iii) This system allows us to know easily
  - a) the number of times a particular book was borrowed by a particular reader.
  - b) the total number of borrowers who borrowed that particular title.

All this information is recorded on the book card.

- iv) An examination of borrower's card gives an idea of the nature of books utilised by a particular reader.
- v) There is less possibility of misuse of borrower's card by unauthorised persons as the borrower is required to sign on the book card at the time of issue. The signature on the borrower's card and book card can be compared for verification.
- vi) Wrong charging of book is minimised as transaction is recorded both on borrower's card as well as on book card. The borrower feels assured of the correctness of transaction as books are issued on the basis of his/her signature and discharged in his presence at the time of return.

## E) Disadvantages

- i) It is unsuitable in big libraries with heavy circulation of books.
- ii) It is relatively more time-consuming than Browne system. In the Newark system, it is not possible to issue and take back books quickly as in Browne system.
- iii) The readers may have to wait for longer periods at rush time as the issue procedure is cumbersome. Also, mistakes can be committed at the time of making entries leading to problems at the time of discharging.

### Self Check Exercise-6

State the two main advantages of the Newark system.

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

ii) Compare your answer with the model answer given at the end of this unit.

### 18.8.8 Semi-Mechanical Systems

Most of the semi-mechanical systems are basically variants of Newark system designed to reduce physical labour with the help of machines. In one of these, cards with pre-punched holes around the edges are used. These holes are cut to mark the due date of the book. The cards are arranged by call number in a single order. A knitting needle is inserted through a given hole and the cards lifted. All cards which are due on a particular date fall into the tray. In this system, the burden was more on the borrower as he had to note down on the punched card his name address, call number and author and title of the book every time he borrowed a book.

**Photocharge System:** In this system, microphotos of the borrower's card, the book card and a sequentially numbered date of issue or due date slip is taken. In other words, the due date slip contains all relevant information of not only the book but also the borrower. However, this system has a major operational drawback is that information about charging is available only on a roll microfilm which is difficult to refer.

### 18.8.9 Automated Circulation Systems

The electronic data processing systems, which were introduced into the market towards the end of 1940s, prompted the libraries to explore the possibility of utilising this advanced technology for circulation control. Most of the early automatic circulation systems adopted batch processing systems and used punched cards. The attractive features of these systems were: speed and reliability. Moreover, there was no need for filing of charged book cards in these systems and it was possible to get, on demand, overdue notices from the machines immediately. In spite of these advantages, they suffered from certain drawbacks such as:

- i) These were incapable of offering all items of information relating to circulation.
- ii) A special computer run was necessary to find out what books have been issued to a particular reader.
- iii) If the systems operate in batch mode, it was very difficult to know accurately, between computer runs, whether a particular title was on loan. (Generally, the processing was done overnight.)

### **Online Circulation Systems**

In the early 1970s, the online circulation systems were developed. This was possible due to the advances made in computer technology in terms of increased memory power, reduction in the cost for storing data, improved systems for file handling and time-sharing.

Online circulation systems were developed both by the libraries as well as outside firms. Among the suppliers of these online systems, CLSI (Computer Library Systems, Inc.) of USA is a major one. In fact CLSI specialised in supply of turnkey online circulation systems. It manufactured and installed 90 per cent of all such systems in operation throughout the world till around 1985.

Apart from CLSI, many other firms developed automated circulation systems utilising different computer equipment. Now we have a wide range to choose from. For example, we have not only simple microcomputer-based systems which satisfy the needs of small libraries such as school libraries, but also huge complex mainframe-based systems required for use in big library networks.

Many libraries in developed countries are using **Optical Character Recognition (OCR)** labels and **bar codes** to identify library materials and members. This has resulted in tremendous improvement in the charging and discharging process as these systems are easy to operate, quick and free of errors. Rather than limiting automation to just circulation activities, majority of libraries are opting for **integrated library systems** which are capable of supporting not only circulation services but also other services such as online public access cataloguing(OPAC), serials control, acquisition, etc.

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## **18.9 SUMMING UP**

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Circulation desk or circulation counter, where books are issued out and returned, occupies a pivotal place in the library organisation. A large number of readers interact with the staff manning the circulation desk. Courteous behaviour and helpful attitude of circulation staff not only builds up the image of the library but also encourages optimum utilisation of library resources.

Circulation section should adopt a suitable charging system capable of

- providing all the required circulation information.
- recording loan transactions efficiently, accurately and speedily.
- reducing costs in terms of staff, equipment and stationery.

The circulation system can be evaluated with the aid of modern management technique such as systems analysis and cost-benefit analysis.

## 18.10 MODEL ANSWERS TO SELF-CHECK EXERCISES

1. The factors which determine the number of books or other items issued to each member are:
  - category to which the member belongs (teaching staff, non-teaching staff, research scholars, students, etc.)
  - total number of members
  - size and nature of library collection
  - book selection policies relating to acquisition of multiple copies of books
  - period of loan
  - area covered by the library, that is, whether the majority of users are residents of surrounding localities or whether they are dispersed at far away places.
2. The three purposes served by member's registration are:
  - It identifies the borrower.
  - It enables us to collect statistics for performance evaluation.
  - It helps in finding out the characteristics of borrowers.
- 3 (a) The functions of the circulation section are:
  - registration of members
  - charging and discharging
  - control processes
  - inter-library loan
  - maintenance of records and statistics
  - miscellaneous functions such as maintenance of visitors register, property counter, checking at entrance and exit-point, etc.
- (b) The six items which constitute the "control processes" of the circulation section are:
  - renewals
  - reserves or holds
  - recall
  - reminders
  - overdue charges
  - notification
4. The major disadvantages of Browne charging system are its failure to provide the following information:
  - a) To whom a particular book is issued and when it is due.
  - b) How many and which books were issued to a particular reader?

5. The main characteristic feature of Dr. S.R. Ranganathan's Reader's Ticket, Book Ticket method is that the book card is in a pocket form and reader's ticket is in a non-pocketed form.
6. The two main advantages of the Newark system are:
  - a) It enables us to maintain a permanent record of books issued.
  - b) As duplicate record of books issued out is maintained on borrower's card, the problem of loss of issue records (due to misfiling, slipping, etc.) is avoided.

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### 18.11 RECOMMENDED BOOKS

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Fayen, Emily Gallup. "Circulation Systems" IN ALA World Encyclopaedia of Library and Information Services, ed. by Robert Wedgeworth, et al. 2nd ed. Chicago: American Lib. Asscn., 1986, pp. 195-197.

Krishan Kumar. Library Manual. New Delhi: Vikas, 1989, pp. 170-180.

Mittal, R.L. Library Administration: Theory and Practice. 5th ed. New Delhi: Metropolitan, 1984, pp 453-494 and 521-585.

Ranganathan, S.R. Library Administration. 2nd ed. London: Asia Publishing House, 1959, pp. 272-350.

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### 18.12 GLOSSARY

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**Batch-processing:** A system in which items to be processed in data processing machines (such as computers must be collected into groups before their processing.

**Charging:** The process of issuing a book out of the library.

**Circulation Desk:** A counter or desk where books and other items from library collection are issued and taken back. Also called as Circulation counter.

**Discharging:** The process of taking back of a book.

**Holds or Reserve:** A book, already under issue, that is kept on reserve for another reader.

**Overdue charge:** Fine collected by libraries for the late return of issued books.

**Punch Card:** A card with hole punched in it (may be near the edges or in the body) to denote particular information.

**Recall:** Calling back a book already issued out of the library for the use of another reader who requests for the same title.

**Renewal:** Extension of loan period by reissuing the same book to the same individual

**System:** A group or set of interrelated parts/elements/ components working together to achieve the stated objective or goal.

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## UNIT-19 : COLLECTION MAINTENANCE - SHELVING, STOCK VERIFICATION, WEEDING

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### Contents

- 19.0 Aims and Objectives
- 19.1 Introduction
- 19.2 Maintenance Section
  - 19.2.1 Relation With Other Sections
  - 19.2.2 Management
  - 19.2.3 Functions
- 19.3 Stacking Principles
- 19.4 Stacking Systems
  - 19.4.1 Double Rows on Fixed Shelves
  - 19.4.2 Hinged Stacks
  - 19.4.3 Rolling Stacks
  - 19.4.4 Multitier Stacks
  - 19.4.5 Tower Stacks
  - 19.4.6 Compact Storage
  - 19.4.7 Conventional Shelving
- 19.5 Shelf Arrangement
  - 19.5.1 Classified Arrangement
  - 19.5.2 Broken Order
  - 19.5.3 Parallel Arrangement
  - 19.5.4 Block Arrangement
  - 19.5.5 Ribbon Arrangement
  - 19.5.6 Shelving Principles
  - 19.5.7 Tools
- 19.6 Stock Verification
  - 19.6.1 Need for Stock Verification
  - 19.6.2 Aims for Stock Verification
  - 19.6.3 Advantages
  - 19.6.4 Disadvantages
  - 19.6.5 Reasons for Loss of Books
  - 19.6.6 Steps to Reduce Loss of Books
  - 19.6.7 Methods
  - 19.6.8 Controversial Issues
- 19.7 Weeding
  - 19.7.1 Advantages
  - 19.7.2 Disposal of Weeded materials
  - 19.7.3 Process
- 19.8 Summing Up
- 19.9 Model Answers to Self-Check Exercises
- 19.10 Recommended Books
- 19.11 Glossary

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## 19.0 AIMS AND OBJECTIVES

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This unit aims to explain the importance of collection maintenance in libraries. After studying this unit, you should be able to:

- describe the functioning of the maintenance section in a library.
- explain the various stacking systems available for the storage of library documents.
- identify the different types of arrangement of books on the shelves.
- discuss the various methods of stock verification.
- appreciate the importance of weeding in collection maintenance.

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## 19.1 INTRODUCTION

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In a library, documents are procured, processed (that is, classified and catalogued), arranged on book shelves and displayed for use of its readers. These documents should be maintained properly so as to keep them in good physical condition. If this is not done regularly in a systematic manner, then the document collection in a library is most likely to be damaged due to dust and harmful insects. Also, if the documents in the library are not displayed properly with correct shelf guides, then the users will not get the books required by them quickly and easily. The maintenance work is a vital one in a service library.

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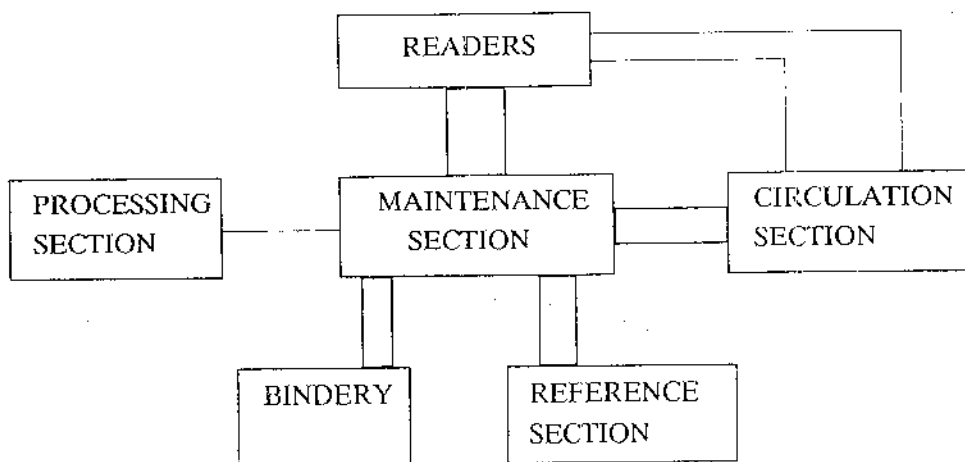
## 19.2 MAINTENANCE SECTION

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### 19.2.1 Relation with Other Sections

Maintenance section functions in close relation with other sections of the library such as processing section, circulation section and reference section. It has direct contact with the readers.

Figure 1



Let us now examine the relationship of the maintenance section with other sections in the library. The **processing section** serves as feeder to the maintenance section by supplying new books after processing. The **Circulation section** gets its supply of books required for issuing to readers from the maintenance section. It also sends back to the maintenance section the books returned by the borrowers.

As for its relation with reference section, the books taken out by the readers for reading in the library are returned to the maintenance section for filing. The readers too have close contacts with the maintenance section in course of their search for books on the shelves.

### 19.2.2 Management

The work load of maintenance section depends on various factors such as the number of volumes in library collection, types of documents available, services offered, type of shelf access provided (whether closed access or open access).

For example, in a library following closed access system, shelving work will be comparatively less. But, the maintenance section has to bear the heavy work load of paging. Paging is locating the required book on the shelf and handing it over to the requesting reader.

In libraries following open access system, shelving is a major activity.

In small and medium libraries, there are no separate maintenance sections. Often this work is taken care of by the circulation section. However, in large libraries such as university libraries do have a separate maintenance section with an assistant librarian as incharge and necessary support staff.

### 19.2.3 Functions

The functions of maintenance section are:

- i) Shelving
- ii) Document location
- iii) Collection movement
- iv) Dusting and cleaning
- v) Guiding
- vi) Document maintenance
- vii) Maintenance of shelf list
- viii) Shelf rectification
- ix) Stock verification
- x) Binding
- xi) Vigilance

Let us discuss each one of the above functions in detail.

#### i) Shelving:

Shelving is the process of replacing the books on the shelves in their correct positions. This is done atleast once in a day and in some large libraries many times in a day if there are many books to be shelved. Shelving has to be done for the following books:

- a) Books returned by the readers at the circulation counter.
- b) Books removed from shelves by the readers for consultation and left on tables or book shelves.
- c) Books removed for making corrections.
- d) Books removed from topical sequence.
- e) Latest additions to the library.

## Sequences of Shelving:

Now let us discuss briefly the various sequences (Collections) that are maintained in libraries.

As you know, all the different types of documents such as periodicals, reference books, audio-visual materials, etc. are not arranged in a single order in our group. Different types of documents are organised in a number of sequences. Sequences are simple collections. The sequences, that is, arrangements of various documents in a library are broadly of two categories:

I. Permanent sequences; and

II. Temporary sequences.

**I. Permanent sequences:** These remain static for a fairly large period of time. They include the following types:

- Main sequence
- Textbook sequence
- Reference sequence
- Periodicals sequence
- Close sequence (containing documents such as rare books, costly books, small-sized books, etc.)
- Theses sequence
- Non-book materials sequence (containing audio/video cassettes, microfilms, microfiche, etc)

**II. Temporary Sequences:** These are arranged for a specific purpose for a relatively shorter span of time.

**Examples:**

a) **Binding Sequence:** It consists of damaged/torn/worn out books removed from the shelves for repair/binding. These books are replaced in the permanent sequence as soon as they are repaired/bound.

b) **Topical sequence:** It consists of books which are taken out of shelves for any special current event such as seminar, workshop, etc. or local festivals. As soon as the special events/festivals are over, then these books are sent back to the shelves.

c) **Display Sequence:** It includes new books added to the library. Generally, libraries display new books, after their processing, in a special book shelf known as 'New Arrivals' rack for a short duration, may be a week or ten days. During this period, the new books are not issued out to readers. After the prescribed period, they are sent to the stacks.

d) **Correction Sequence:** Sometimes books are pulled out of shelves for correcting errors such as wrong spine labels, books cards and due date slips. These books are temporarily stored in a correction sequence. After making the necessary corrections, they are returned to the stacks.

e) **Returned Books Sequence:** It includes books which are returned by the readers and awaiting shelving.

## ii) Document Location:

It is the duty of the maintenance section to locate documents requested by readers and library staff. Frequently, it receives requests for help from the users and reference and processing staff in the location of documents. In addition, the maintenance section also picks out from the shelves books required for preparing various temporary sequences such as binding sequence, correction sequence, etc.

## iii) Collection Maintenance:

As you know, library is a growing organisation. In course of time, the size of the collection, number of readers and library staff will increase. As a result, it may be necessary to rearrange the library collection in a different manner to satisfy the growing users' requirements. This may involve shifting of collections from one place to another. It is the maintenance section which takes care of this function.

## iv) Dusting and Cleaning:

This is a routine day-to-day function of the maintenance section. If it is not done regularly, then dust and harmful insects are likely to accumulate and damage the library books. Dusting books and shelves, sweeping and mopping the floors and removing cob-webs should be done at regular intervals. We shall discuss about conservation and preservation of library documents in detail in the next unit 20.

## v) Guiding:

Guides are direction labels which show the way to various sections of a library such as newspapers and magazines section, periodicals section, reference section, stack area, etc. Also they help in the quick and easy location of the required books by providing class numbers and their equivalent subjects in various parts of the stack area. It is the responsibility of the maintenance section to prepare and maintain guides apart from book tags (spine labels which provide call numbers). The following guides are prepared for the stack area:

a) **Tier Guide:** Sometimes the books are arranged in more than one tier stack. In such cases, tier guides are prepared for each tier giving the class numbers included along with their subjects in natural language.

b) **Gangway Guide:** These are placed in each gangway and they show the class numbers of the books covered and their equivalent subject names in natural language.

c) **Bay Guide:** As you know, bay is the part of the face of the book rack between two consecutive book shelves. Bay guide is provided for each bay in the stack area and it gives the inclusive class numbers of the subjects covered in that bay and their corresponding subjects in natural language.

d) **Shelf Guide:** Every shelf in the stack area should be provided with a shelf guide mentioning the inclusive class numbers of subjects covered and names of subjects in natural language.

e) **General Guide:** Normally, this is displayed near the door of the stack area. It gives a plan of the complete arrangement of shelves in the stack area. In addition, the library may display a layout diagram of its various sections near the main door (entrance) of library building.

Apart from the above, the maintenance section also prepares **General instruction guides** such as the following for display in various sections of the library:

*No smoking please*

*Thank you for maintaining silence.*

*Please do not shelve the books. Leave them on the reading tables.*

*Save power. Switch off lights and fans when not required.*

*Use spittoons.*

An up-to-date, accurate and easy to follow guiding system facilitates optimum use of the library resources.

#### **vi) Document Maintenance:**

Due to normal wear and tear, the tags (Spine labels) on books are likely to become faint or invisible or they may even fall off. In such cases, the maintenance section should arrange for the preparation and pasting up of fresh tags. Also, the maintenance section should undertake regular examination of physical condition of books on the shelves and remove worn out/torn or damaged books for repair/binding.

#### **vii) Maintenance of Shelf List:**

As we have already seen in section 19.2.3 (i), there are a number of sequences (collections) in a library. We should have a system which enables us to keep track of documents in various sequences. This is done with the help of shelf list.

**Shelf List:** This is a catalogue of books in the same order as they are placed on the book shelves. Usually, it consists of standard-size cards measuring 7.5 cm x 12.5 cm. These cards may be either coloured or without lines. The characteristic feature of shelf list is that the cards are arranged in the classified order, that is, in the same order in which the books stand on the shelves. Each shelf list card contains essential bibliographic details such as call number, accession number, name of author (s), title, edition, year of publication, etc., Generally, it is not meant for public and it should be safe guarded properly as it is an important record.

#### **Principle of parallel Movement**

As already mentioned above, shelf list cards are arranged in exactly the same order as the books on the shelves. We have to maintain different groups of shelf list cards for various sequences (collections) in the library such as reference sequence, periodicals sequence, rare books sequence, etc. The principle of parallel movement prescribes that if a book is shifted from one sequence to another, then its shelf list card should also be shifted accordingly. For example, if a book is transferred from the general collection to the rare books collection, then its shelf list card should also be shifted from the general collection shelf list to rare books shelf list.

#### **Purpose**

Shelf list serves many useful purposes:

- it enables maintenance of proper sequence of books.
- It helps us to replace a book in its correct place.
- It shows the location of book on the shelf.
- It serves as a record of temporary sequences created in the library such as binding sequence, correction sequence, etc.
- It is of immense use in stock verification work.

The maintenance section is entrusted with the task of preparing, maintaining and updating shelf list. This is considered as a very important job and it should be done with great care and responsibility.

**viii) Shelf Rectification:**

In a library books are likely to be misplaced due to the following reasons:

- a) Deliberate hiding of useful books by selfish users.
- b) Unintentional misfiling of books by readers browsing in the shelves.
- c) Library staff may file books at wrong places. This may happen unintentionally or in some cases may be due to their laziness or tendency to avoid work.

If the required books are to be found on the shelves, then the filing order on the book shelves should be perfect. Mistakes, if any, should be corrected on regular basis. This process is referred to as **Shelf rectification** It is simply replacing the misplaced books in their right places. This can be done by reading the shelves in a systematic manner, locating the wrongly placed books and putting them back in their correct positions.

In an open access library, more number of books are likely to be misplaced as the readers are allowed to move freely in the stack area, browse the books and take out the ones they wish to read. Hence, in libraries following open access system, shelf rectification should be done more regularly.

**ix) Stock Verification:**

It is the physical check up of documents recorded in the library. Its main aim is to find out the loss of books, if any. This is one of the most important functions of the maintenance section. We shall discuss about it in detail in section 19.6.

**x) Binding:**

Binding is regarded as one of the vital functions of the maintenance section. The maintenance section can locate the damaged books during its operations such as shelving, shelf rectification and stock verification. Such damaged books can be sent for binding to keep them in good physical condition.

**xi) Vigilance:**

In libraries, particularly those following open access system, the staff of the maintenance section are expected to keep a close watch on the activities of readers in the stack area. This is done to protect the collection from damage by vandals through such acts as tearing off pages, stealing books, etc. Adequate number of maintenance staff should be stationed at important places in the stack area to keep watch on the readers.

**Self-Check Exercise-1**

- (a) List out the functions of maintenance section.

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

- ii) Compare your answers with the model answers given at the end of the unit.

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b) Mention the various types of guides that should be prepared by the maintenance section.  
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c) What is shelf rectification?  
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### 19.3 STACKING PRINCIPLES

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In the present times, the philosophy underlying library services is that "books are for use, not preservation". Accordingly, the adopted stacking system should permit proper display of various documents so that readers can get hold of them easily and quickly. A good stacking system would

- provide for maximum storage capacity with minimum loss of space.
- enable storage of all types of documents -books and non-book materials.
- offer quick access to books and related areas such as library catalogues, circulation counter, etc.
- have facilities for proper ventilation providing adequate flow of fresh and dust-free air, including facilities for controlling temperature and humidity.
- have sufficient degree of artificial lighting.
- enable us to go in for future expansion to meet the demands of storing increasing number of documents added to the library collection.

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### 19.4 STACKING SYSTEMS

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Having learnt about the stacking principles, let us have an overview of various stacking systems in use in libraries.

A good stacking system will not only provide for economy of space but also enable the users to consult the books on shelves with ease. Space is one of the major problems in big libraries with growing collections. The different stacking systems attempt to offer solutions to this problem. The major stacking systems are:

- Double Rows on Fixed Shelves
- Hinged Stacks
- Rolling Stacks
- Multitier Stacks
- Tower Stacks
- Compact Storage
- Conventional Shelving

#### **19.4.1 Double Rows on Fixed Shelves**

Books are arranged in two rows on normal fixed shelves, that is, there is a visible front row of books and another back row of books behind it, partly visible. Although this system increases the number of books that can be shelved. It is very difficult to take out the books on the back row. To avoid this problem, a modification is made; two separate shelves for two rows of books are used and provision is made for the swinging of front layer to the side to consult books on the back row.

#### **19.4.2 Hinged Stacks**

In this system also two shelves are used; one shelf is fixed and the second is jointed to the first one with the help of hinges at one side. As a result, the complete shelf in the front can be operated like a door and the books in the rear shelf (which is fixed) can be consulted. To ensure smooth movement of hinged shelf, rollers are provided at its bottom and they slide on a curved metal track fitted to the floor.

#### **19.4.3 Rolling Stacks**

In this system, the stacks, which are made of metal, are provided with the ball bearing wheels at the bottom. They are placed adjacent to each other and the ball bearing wheels enable us to move the individual units without much difficulty. It is estimated that about 50 percent more books can be stored in this methods when compared to normal fixed stacking system.

#### **19.4.4 Multitier Stacks**

It is composed of wooden stacks supported by metal framework, right from the basement to the roof. It is the basement which bears the loads of books and shelves and as such it has a strong foundation. In this method, it is desirable to go in for vertical expansion of stacks rather than horizontal one as it is more economical and floor of stack area being made up of wooden framework or light steel or concrete frame may not be able to bear the heavy load of multitier stacks. The method has been adopted by a number of Indian libraries to save space.

#### **19.4.5 Tower Stacks**

In this system, the stacks, which reach the roof level, are placed adjacent to the walls and fixed to them. As a result the walls provide support to the stacks. A major disadvantage of this system is that it is very difficult to reach the top shelves of racks. Mobile ladders or step stools should be provided to gain access to the top shelves.

#### **19.4.6 Compact Storage**

This is a space saving, modern system of storing library materials. Although compact storage systems are in use since last century, they have gained popularity during the past two decades.

At present, a variety of types of compact storage systems are available in developed countries such as U.S.A., U.K and Canada. However, in India they are very rarely used. Recently, M/s. Godrej & Boyce Manufacturing Co. Ltd., had introduced their compact storage system. But whether this system is suitable for storing heavy library books is not clear.

Compact storage systems are specialised types of storage equipment which allow considerable increase in the total space available for storage. It is called as compact storage as the materials are stored in a highly compact manner.

Compact shelving is of the following three types:

- i) Stationary shelves combined with movable revolving segments.
- ii) Stationary shelves with movable drawers.
- iii) Movable sliding shelves.

A simple compact storage system is explained below taking the one being manufactured by M/s. Godrej & Boyce as the example. In this system, the storage units are mounted on mobile trolleys thereby eliminating non-productive aisles (passages for movement of persons). The movement of storage units on rails can be done manually or mechanically by using the handles provided. (See Figure 2)

#### How Space is saved?

Examine the figure 3 given below which shows both conventional shelving and compact shelving. In the conventional shelving much space is left for aisles (passages between racks). By adopting compact storage space can be increased by about 50 per cent. This is made possible as aisle space is reduced through use of movable racks.

#### Advantages:

- i) It increases space available for storage of books by about 50 per cent.
- ii) Books can be protected well from dust and light.
- iii) Security of books is enhanced.

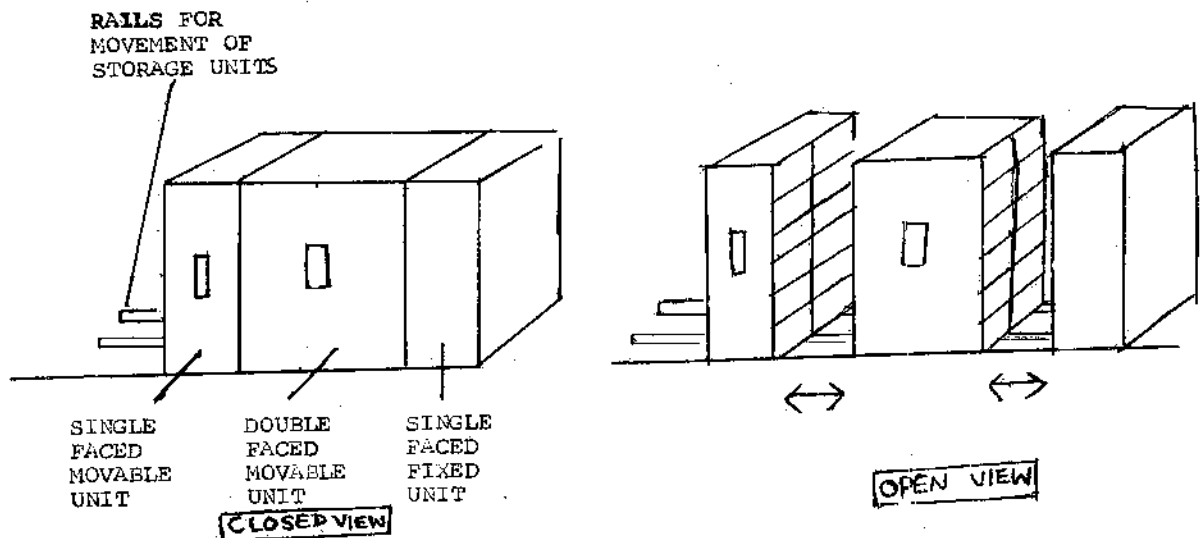


Figure 2: Compact Storage System

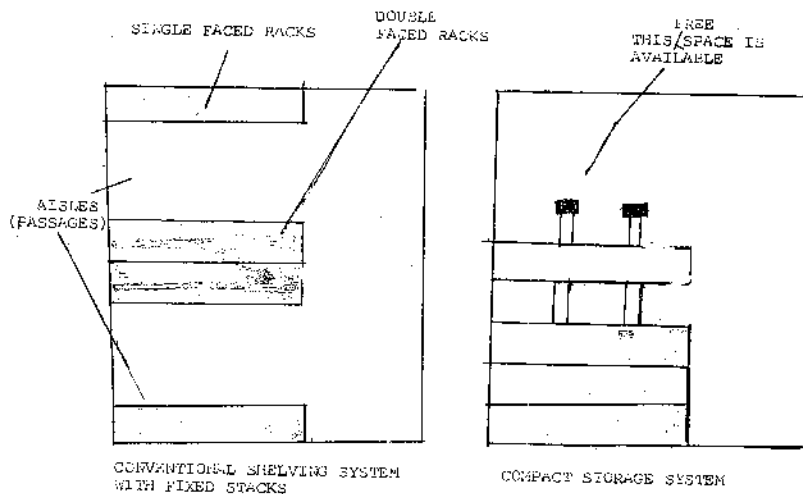


Figure 3.

**Disadvantages:**

- i) The floor may not bear the load of storage unit.
- ii) The cost of installation and maintenance considerable.
- iii) It discourages browsing by readers as books are not directly accessible.
- iv) Moving units may produce noise.
- v) It is cumbersome to shelve books as the units should be moved to and fro to gain access to the required shelf.
- vi) If proper security system is not provided, then accidents may occur.

**19.4.7 Conventional Shelving**

This is the most prevalent system in our libraries. In this both single-faced and double-faced book racks are used. Generally, the single-faced book racks are placed near the walls. (See figure 4) Books are stored in open racks which are placed in parallel order with passages of about 1.35 metres between rows. As per the standards prescribed by the Bureau of India Standards, the gangway between racks should be 1.35 metres. The distance between the side face of the rack and the wall bearing windows should be atleast one metre.

Single faced racks may have 6-7 shelves while the double-faced one may have 12-14 shelves. According to the **Guidelines for public Library Systems and Services**, issued by the Raja Rammohun Roy Library Foundation, the standard dimensions of book racks are as follows:

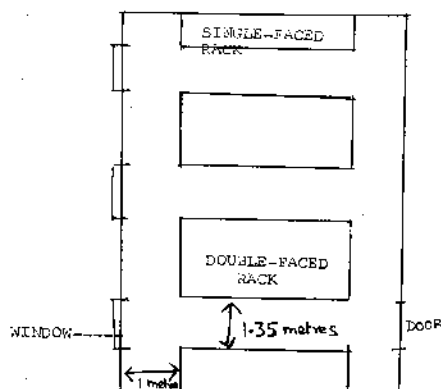


Figure 4: Specimen Layout of Stack Area

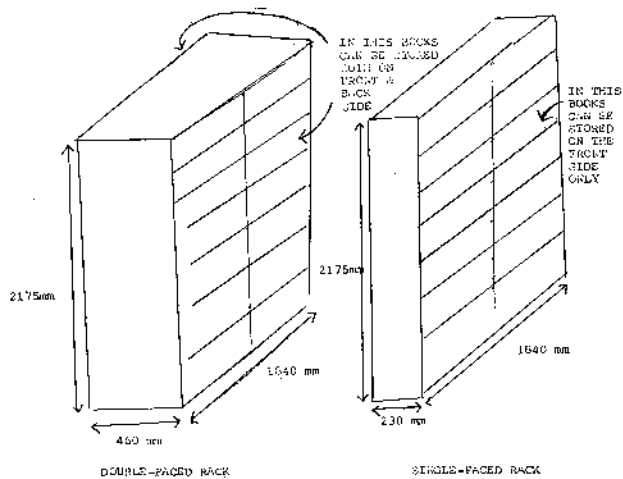


Figure 5: Stack Area

Standard Dimensions of Book Racks:

	Height	Length	Depth	Height of lowest shelf from floor level
		(in millimeters)		
Double-faced rack	2175	1840	460	100
Single-faced rack	2175	1840	230	100

**Note:** For over-sized documents the depths of 600 mm and 300 mm for double-faced and single-faced racks respectively are recommended. Shelves should be able to carry a load of 460 kg per shelf, per bay.

Generally, there are three types of book racks:

- i) **Open Skeleton Type:** It has strips on side and back.
- ii) **Closed Type:** In this sides and backs are covered with sheets.
- iii) **Side Closed Type:** In this only the sides are covered with sheets.

It is estimated that only 30 percent of floor space is actually used for placing the book racks. The rest of the space is left for passages to allow free movement of readers in the stack area. This system has the advantage of providing high accessibility to book racks. However, in terms of saving space it is not a good system. This conventional shelving system is regarded as the best one for library collections which are heavily used by readers and for libraries following open access system.

**Self-Check Exercise-2**

What are tower stacks?

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

ii) Compare your answer with the model answer given at the end of this unit.

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## 19.5 SHELF ARRANGEMENT

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The main aim of shelf arrangement is to help in the location of the required book easily and quickly and if it is not readily available to suggest alternative titles. The arrangement of books on the shelf can be done in a variety of ways:

- i) According to their Size: For arranging books by size, the collection can be divided into three broad groups: small-sized books, normal books and over-sized books.
- ii) On the basis of accession numbers: This is useful in libraries following closed access system and having detailed and indepth subject and author catalogues. It can be adopted in large libraries like national libraries or national depository libraries.
- iii) According to nature of materials namely, books, periodicals, reference books, non-book materials, etc.
- iv) According to purpose, namely, reference, lending, etc.
- v) On the basis of category of readers, namely, adults, women, children, students, etc.
- vi) Alphabetical arrangement by the names of titles of authors.
- vii) By classification number given to the books on the basis of the classification scheme adopted by the library, that is, taking into consideration the subject content of the work.

It is not necessary for a library to adopt only a single method of shelf arrangement of books. Often, libraries use a combination of methods to meet the needs of their users. For example, in a public library, the collection may be divided first on the basis of purpose : reference books, lending books, textbooks, rare books, etc. This collection may be further sub-divided according to the target groups: children's books, adult education literature etc. The final arrangement of books on shelves may be in classified order. In the following sections, we shall explain the major types of shelf arrangement of books, namely,

- Classified Arrangement
- Broken Order
- Parallel Arrangement
- Block Arrangement
- Ribbon Arrangement

### 19.5.1 Classified Arrangement

In this method, the books are arranged on the shelves in the classified order, that is, on the basis of classification scheme adopted by the library. Generally, class numbers are marked on the spine labels along with author marks and accession numbers. For example, in a library using Dewey Decimal Classification scheme, the arrangement of books will start from the class 000 and end with 999.

### **19.5.2 Broken Order**

In this arrangement, those books which are in heavy demand are placed on the front stacks. For example, often in public libraries categories such as novels, biographies, children's works, topical books, etc. are much in demand. Hence, such works, are separated from the main collection and kept in the beginning stacks. The main purpose of this arrangement is to help the readers to select the books they wish to read easily and quickly with least inconvenience.

Similarly, special types of books such as reference books, rare books, etc. are separated. This makes them more accessible to the readers as they find all works of a specific type at one place.

For example in a library following broken order system, the front stack may contain fiction books, followed by biographies in the second stack, etc. Later on, the other subjects will be arranged in classified order. In other words, the arrangement is not in perfect classified order.

### **19.5.3 Parallel Arrangement**

In this method, books are arranged on the basis of two factors: number and size. The main purpose is to arrange the books of different sizes belonging to a specific subject on the same shelves avoiding wastage of space and physical effort in their retrieval. In this, small-sized books of a specific subject are placed behind the normal-sized books of the same subject. Large-size books belonging to the same subject are arranged on the bottom most shelf. Thus a system of parallel order is created.

### **19.5.4 Block Arrangement**

In this method, books are shelved in regular shelf-to-shelf, case-to-case order on the basis of adopted classification scheme. For example, in public libraries a modification of this method can be adopted. In a heavily used public library, non-fiction stock can be placed between the much used and overcrowded fiction stacks to reduce congestion and also to encourage use of non-fiction books. But, in this case there is a possibility of fiction and non-fiction books getting mixed up.

### **19.5.5 Ribbon Arrangement**

This is a special type of shelf arrangement wherein fiction books are arranged on the middle planks while non-fiction books are placed on the top and bottom planks. The main idea behind this arrangement is to motivate readers to read non-fiction books and to discourage them from reading fiction books exclusively.

A decision regarding the method of shelf arrangement of books should be taken considering various factors such as available storage facilities of the library, needs of users, types of documents, etc. For example, arrangement of books by accession numbers or size may be done in case of national libraries/depository libraries. In academic libraries, the classified order may be the most suitable one. In popular public libraries, broken order may be very helpful to readers.

### **19.5.6 Shelving principles**

- i) Books in shelves should be kept in a straight line with their spines parallel to the edge of the shelf.
- ii) Books should not be allowed to 'lean'. The loosely shelved books should be pushed from right to left and supported with book ends.

- iii) As far as possible, the titles of books should be visible even without removing the books from the shelf.

### 19.5.7 Tools

For the proper functioning of a maintenance section, the following tools are to be provided:

- i) **Book ends or Book supports:** These help us to make the books stand straight instead of leaning.
- ii) **Book lifts and trollies:** While book lifts are essential for taking books to various floors, book trollies are required for moving books to various areas of a floor.
- iii) **Shelving tables:** These are needed for sorting books to be shelved. At least one such table should be provided for each floor.
- iv) **Stools:** These are required for short persons. They enable them to pick out or replace books located on top shelves.
- v) **Ladders:** These may be of two-step or three-step and help in reaching the top of the shelves for cleaning and dusting.

#### Self-Check Exercise-3

(a) What is the characteristic feature of "classified arrangement" of books on the shelf?

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

ii) Compare your answer with the model answer given at the end of this unit.

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(b) Mention the tools required for the functioning of maintenance section in a library.

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### 19.6 STOCK VERIFICATION

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Stock verification may be defined as the physical check-up of the documents recorded in the library. Its purpose is to find out whether all the documents procured by the library are in its actual possession or whether any of them have been lost.

Often, government departments undertake annual stock verification wherein stock articles such as typewriters, almirahs, work tables, chairs, etc. are checked against stock register to detect losses/thefts. In libraries, various documents such as books, periodicals, dissertations, audio-visual materials, etc. constitute its stock. Verification of library stock is also done in similar fashion for identifying loss of documents and for taking remedial steps against theft of books.

### **19.6.1 Need for Stock Verification**

During normal course of library service operations, some books are likely to be stolen/lost, damaged or misplaced. If a popular book, that is, which is in much demand from readers, is lost/stolen, we may have to replace it with a fresh copy. In case of a damaged book, it needs to be repaired through binding. When a book is misplaced then it has to be replaced in its proper location. If the number of such books which are lost/stolen, mutilated or misplaced is high in a particular library, then the concerned library authorities would have to take steps to safeguard the collection. It is only through regular stock verification that we can identify these problems. The need for stock verification is an imperative one.

### **19.6.2 Aims of Stock Verification**

The aims of stock verification are:

- i) to list out the lost books.
- ii) to identify the misplaced books and replace them in correct position.
- iii) to check the worn-out or torn books and send them for binding.
- iv) to identify the books which are to be corrected, for example, errors in class numbers on spine labels, bibliographic details on due date slips, book cards, etc.
- v) to pull out the books that can be weeded out.

### **19.6.3 Advantages**

- i) It enables us to know the lost books. This knowledge helps the librarian to replace the lost books, which are popular, much in demand and essential. Availability of correct and reliable information about lost books avoids unnecessary search for these books, both by the users and library staff members. Library staff members can provide right answer to readers' questions.
- ii) During stock verification, it is possible to replace the wrongly placed books in their correct locations. Often, shelf rectification is undertaken as a preparatory step to stock verification. Shelf rectification is simply replacing the misplaced books in their correct places. This is done by reading the shelves in a systematic order, indentifying the misplaced books and putting them back at their correct positions.
- iii) The long overdue books can be recalled in the name of stock verification.
- iv) It helps the librarian to take decision whether to have open or closed access to book shelves. If the stock verification reveals that the loss of books in open access system is not more than in closed access system, then he can introduce the open access system.
- v) As stock verification provides information about the number of lost books, it is possible to estimate the percentage of lost books.

- vi) It helps the library management to check about the honesty, dedication and security consciousness of the library staff. If it is found that the losses are due to activities of dishonest or careless members of the library staff, then necessary steps can be taken to prevent further losses.
- vii) Normally, the books which are stolen are the ones that are most used. The library staff can have an idea of the popularity of a subject on the basis of the number of books lost in it. If a large number of books are lost in a particular subject, we may conclude, with reasonable accuracy, that it is one of the most popular subjects in that library.
- viii) Stock verification helps in shifting and dusting of books at regular intervals. Thus, we can prevent accumulation of dust and insects in the book shelves.
- ix) Stock verification offers scope for review of the library collection. We can check physical condition of books and remove damaged or worn-out books. Also, outdated old editions can be removed from the general collection and kept in a repository.
- x) It helps the members of the library staff to familiarise themselves with library collection. This knowledge would be very helpful to them in providing efficient reference services to readers.
- xi) It facilitates maintaining the various library records such as catalogues, shelf list, accession register etc. in an up-to-date manner. Updated records enable the library staff members to offer better services such as reservation, inter-library loans, location of documents, etc.

#### **19.6.4 Disadvantages**

- i) Stock verification is most likely to disturb the normal working of a library. As a result, the reader services will be affected. While some libraries are completely closed during stock verification, other restrict their services to limited time.
- ii) Often, during stock verification books issued out are recalled for physical verification and this causes much inconvenience to readers.
- iii) It involves considerable expenditure, both for materials and manpower. In a service library, some books are likely to be lost. This is unavoidable. The cost of stock verification is very high when compared with the cost of lost books. Many librarians argue that it is not advisable to spend so much just to find out what books have been lost. Moreover, a book once lost is lost forever. There is no need to incur additional expenditure just to know which books have been lost. If any popular book is lost, it can be known very easily from the repeated public demands and replaced.

#### **19.6.5 Reasons for Loss of Books**

In libraries following open access system (that is, where readers are allowed to go to the book shelves, handle books freely and pick up the ones required by them) there are bound to be losses. In addition, a small percentage of books issued out are also likely to be lost due to various factors such as theft, misplacements, physical damage, etc. The major reasons for book losses are mentioned below:

- i) Certain individuals have the dangerous habit of stealing. In spite of security measures they resort to stealing as a compulsive habit.

- ii) Sometimes the vigilance system in library may not be adequate such as absence of watchmen in stack areas, improper checking at exit-point, etc. This fact may encourage a few individuals to steal the books. This is said to be the major reason for the theft of books.
- iii) In some cases the library rules may not permit issue on loan of certain types of documents such as periodicals, reference books, etc. outside the library. As a result, the readers may be forced to steal the required documents.

#### 19.6.6 Steps to Reduce Loss of Books

It is impossible to totally prevent loss of books. But, we can take certain preventive steps atleast to reduce such losses. They are:

- i) Tightening the security check at the exit point and maintaining strict vigil in the stack area.
- ii) Providing efficient photocopy services.
- iii) Extending the library hours, particularly during examination periods in academic libraries.

#### Self-Chek Exercise-4

Define stock verification and state its main aims.

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

ii) Compare your answer with the model answer given at the end of this unit.

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#### 19.6.7 Methods

In the following sections, we shall discuss the various methods used for stock verification.

##### 1) Accession Register

As you have already learnt, accession register is a stock register maintained in the library for recording all the documents received in the library through purchase, gift or exchange. In this method a library staff member takes the accession register to the book stack, reads out the details of books including accession number and another person puts a tick mark with pencil against the particular accession number in the accession register. After checking the complete collection, a list of missing books is made and steps taken to trace them.

**Advantage:**

- i) It is a simple method.

**Disadvantages:**

- i) It is a cumbersome procedure as the library staff have to flip through a number of pages to locate the required accession number for every book. If the library collection is very large, then they may have to carry a number of volumes of accession register.

- ii) It is time consuming as the books on the shelf are arranged by call number and the books in the accession register are arranged by accession number. This difference in arrangement of book sequences required considerable time in locating the required accession number.
- iii) It causes spoiling of the accession register. As some tick or other marks are made in it for books located, it disfigures its appearance.

**Example:**

Accession Number	Author	Title	Publisher	Supplier	Edition	Price	Call No.	Remarks
1.	KRISHAN KUMAR	Library Manual	Vikas	Visa-lachra	1st	65.00	025.1 KRI	Checked
2.	MITTAL, R.L.	Library Administration	Metro-politan	-do-	4th	40.00	025.1 MIT	Checked

## 2) Separate Register With Accession Numbers

In this method, a separate stock-taking register is designed as follows.

Accession Number	1992	1993	1994	1995	1996	Remarks
1.						
2.						
3.						

While one library staff member calls out the accession number of the book on the shelf, another puts tick mark in the particular year column against the called out accession number. After completing the checking of all books, a separate list of books not found is prepared. Then other sequences such as books issued, books sent for binding, etc. are checked and entries of those books which are found are struck off. Finally, a list of all lost books along with their complete bibliographic details including price is prepared and the total cost of the lost books is found out.

**Advantage:**

- i) It avoids spoiling of accession register with marks and erasings.

**Disadvantages:**

- i) It is a slow process and required much time.
- ii) It cannot be used in big libraries with large collections because of time factor.
- iii) Stock-taking register can be used for a limited period, may be 5-10 years, till all its years columns are used. After that another register has to be opened. This involves considerable amount of money, time and effort.

### 3) Separate Sheets With Accession Numbers

Instead of using separate stock-taking registers as described in the previous section, separate sheets containing accession numbers in serial order are used as shown below:

GANDHI MEMORIAL LIBRARY STOCK-TAKING SHEET FOR THE YEAR 1992		
1	11	21
2	12	22
3	13	23
4	14	24
5	15	25
6	16	26
7	17	27
8	18	28
9	19	29
10	20	30

The accession numbers are either typed, printed or marked with a numbering machine. In this method, the accession numbers of books which are located on the shelf are struck off. The rest of the items are checked at the issue counter, binding sequence, etc. and the found items are crossed out. Finally, the remaining accession numbers are written on separate sheets along with full bibliographic details. Thus, a list of lost books is prepared.

#### Advantages:

- i) It is possible for many library staff members to undertake stock verification simultaneously. This is because copies of the stock-taking sheets can be made easily.
- ii) It enables completion of stock verification work in less time.

### 4) Numerical Counting

As you are aware the accession register provides us the total number of documents available in the library. Just through simple physical counting of books on the shelves, issue sequence, binding sequence, etc. we can know the total number of books actually available in the library. By subtracting this number from the total number of books as per the accession register we can find out the number of lost books.

#### Advantages:

- i) It is a very simple method.
- ii) It provides a rough estimate of the loss of books.

#### Disadvantages:

- i) It can be used by only those libraries which do not wish to go in for actual physical verification of each book in the library.
- ii) It cannot tell us which books have been lost and their total cost.

## 5) Book Cards

This method utilises the book cards available in each book. These book cards are removed from book pockets and rearranged according to accession numbers. After checking all possible places such as issue sequence, binding sequence, correction sequence, etc. finally a list of missing accession numbers is prepared and their bibliographic details ascertained from the accession register. After stock verification, the book cards are rearranged by call number and replaced in their respective book pockets.

### Disadvantage:

- i) This is a very cumbersome method especially when the library has several thousands of books.

## 6) Check Cards

In this method, check cards measuring 5 cm x 7.5 cm are used. Every book rack is allotted a serial number/symbol. A check card, containing accession number and location symbol is prepared for each book. After preparing check cards of all books on shelves, under issue, sent for binding, etc. they are arranged according to accession numbers. This helps us to identify the missing accession numbers and to prepare a list of untraced books.

### Disadvantage:

- i) This method is of use in small libraries which do not have shelf list. For libraries maintaining shelf list, it is a sheer waste of time and money to prepare check cards.

## 7) Sample Stock Verification

This involves selecting a portion of the total library collection using a suitable sampling method and doing stock verification. Often those sections which are heavily used are verified. Through this method we can make a rough estimate of the loss of books.

## 8) Computer Application

In this method, the accession numbers of the books present on the shelves, issued out on loan, sent for binding, correction work, etc. are noted on plain paper and then punched on punch cards. This information is recorded in the computer. Also, the accession numbers of the total collection of the library are also fed into it and the computer is asked to give as output the list of missing accession numbers. These accession numbers represent the lost books. The reliability of this method depends on the accuracy of data (accession numbers) fed into the computer.

## 9) Stock Verification Using Shelf List Cards With Special Columns

The methods described above suffer from many disadvantages and are not much used in reputed libraries. They do not help us in shelf rectification, that is, replacing misplaced books in their proper locations. This is mainly because most of the above methods use accession number as the basis for checking. Moreover, they do not enable us to know easily if a book is shelved in its correct place. So, a new method using the shelf list was developed for stock verification. If you wish to recollect about shelf list, please see section 19.2.3 (vii).

For the purpose of stock verification using shelf list cards, the following conditions should be fulfilled:

- i) Shelf list should be up-to-date, accurate and properly arranged.

- ii) It should be in card form.
- iii) Shelf list cards should not only provide essential bibliographic details but also have space for noting stock verification entries.
- iv) Shelf rectification should have been done properly.
- v) The call numbers of books should be individualising and the spines of books should bear call numbers. This would enable us to identify the books by reading the call number.

An example of a shelf list card with special columns is shown below:

025.81	Hyman, R.J.			
4500	Shelf access in libraries / R.J. Hyman. Chicago: ALA, 1982			
	1992	1993	1994	1995
	1996	1997	1998	1999

In this method, a library staff member takes the drawer containing shelf list cards to the book shelves. Another staff member reads aloud the call number of the book on the shelf by looking at the spine label or inside the book and the person with the shelf list cards locates the particular shelf list card of that called book, puts a tick mark in the relevant year column and pushes the shelf list card towards himself. This process goes on till all the books of the day's quota are checked. The shelf list cards of those books which are not found on the shelves are lifted and made to stand on their short edge. Then, these shelf list cards are checked with other sequences like issue sequence, binding sequence, withdrawals sequence, etc. At the end of stock verification, a final list of these standing shelf list cards is prepared. This list provides information about the lost/missing books. The books in this list are written off after making necessary entries in the withdrawals register. The shelf list cards of the books withdrawn are arranged separately in a withdrawals sequence.

**Advantages:**

- i) It is a quick and easy method as the arrangement of books on the shelves and the shelf list cards is same.
- ii) Simultaneously many persons can do stock verification work with each person taking a shelf list drawer.

**Disadvantages:**

- i) As it involves putting a tick mark on the shelf list card, some time is required.
- ii) In view of limited number of columns that can be accommodated on a shelf list card, they may get filled after a few years. Consequently, we may have to prepare new shelf list cards for all the books in the library collection.
- iii) If the library is following descriptive cataloguing, there may not be sufficient space to draw columns on the shelf list card.

## 10) Shelf List Cards Without Special Columns

This method is exactly similar to the one described above except for the fact that the shelf list cards do not have any columns for making stock verification entries. If the book is found, then the checking person simply pushes the particular shelf list card towards himself. The other procedure is same as the above method.

### Advantages:

- i) It enables us to do stock verification very quickly.
- ii) Many individuals can do it simultaneously.
- iii) It assists us in shelf rectification.
- iv) As the books on the shelves and shelf list cards are in same order, checking is very easy.

## 11) Dr. S.R. Ranganathan's Method (Combining Shelf Rectification and Stock Verification)

Dr. S.R. Ranganathan advocated a system which combines shelf rectification with stock verification. He said that these jobs should be done in a phased, smooth manner so as not to disrupt the normal services of the library, that is, without closing the library or restricting the services. The various steps of this method are described below:

- i) **Deciding the Quota:** As a preliminary step, the quota of books to be checked for the day is decided. Then, the corresponding shelf list card trays are taken out.
- ii) **Checking With Charged Tray:** The next step is to check at the issue counter. The issue counter assistant calls out the call numbers of books (falling in the day's quota) from the issued books sequence. The checking person makes the shelf list card of the book called stand up, thereby making their call numbers visible. So, at the end of checking, all the shelf list cards which are standing on their short edge are those of books which are issued out on loan.
- iii) **Shelf Rectification:** Before embarking on checking book shelves, shelf rectification has to be done. In addition, all the returned books should be filed.
- iv) **Shelf Checking:** This is done by two persons; while one person calls out the call number mentioned on the spine label of the book, another person checks for that card in the shelf list tray, finds it and then he simply pushes it towards himself. If he finds any shelf list card which has not been called, then he removes that card and puts in **investigation box**. The cards in investigation box represent those books which are not found.
- v) **Investigation:** The person checks for the books in the investigation box at the following places:
  - books just returned
  - books left on reading tables
  - books in reader's hands
  - misplaced books

After this stage, the shelf list cards of those books which are traced are replaced in their shelf list trays.

vi) **Reporting:** Finally, a list of books which are lost is prepared. On the basis of this report the librarian takes corrective steps such as

- replacing important and much-in-demand lost titles.
- writing off lost books not much in demand.
- strengthening security measures.

According to prof. Krishan Kumar (**Library Manual p.196**), a slight modification can be made in the above method by including one column for year of stock verification. A tick mark or initials can be put against the years on shelf list cards of books which are traced.

#### **Advantages:**

- i) It can be adopted without either restricting services or closing the library.
- ii) It is most suitable both for small and large libraries.
- iii) It enables the library to undertake stock verification as often as necessary. For example, a section in which there is heavy loss of books can be subjected to stock verification at frequent intervals and if the situation warrants those sections can be shifted to reserve section.
- iv) It can be done by a number of persons as various sections can be entrusted to different individuals.
- v) It can be done quickly.
- vi) As it is combined with shelf rectification, it enables the library to locate misplaced books and replace them at their correct positions.

### **19.6.8 Controversial Issues**

#### **1) Responsibility for Loss of Books:**

Particularly in small libraries, the loss of books is a major problem for librarians. Sometimes the librarian may even be asked to pay the cost of lost books from his salary. This often happens in public libraries.

In Western countries, the librarians are not held responsible for loss of books. Unfortunately, in India they are made accountable for the lost books. Of late, fortunately, there are very few cases of action being taken against librarians for lost books; this has been mainly due to the efforts of library associations. If the loss of books is within the permitted level, then it should be written off by the library authorities. **The permitted level of loss of books, as specified by the Government of India, is three volumes per one thousand volumes issued/consulted in a year.**

In cases where there are heavy losses, that is, those above permitted levels, detailed investigation has to be done and preventive steps taken to avoid further losses. If there are any dishonest librarians, then disciplinary action should be taken against them.

#### **2) Frequency:**

We can undertake stock verification in a small public library once every year. But we cannot do the same in case of big libraries with large collections running into lakhs of books. In these libraries, it is better if the shelf rectification and stock verification are done simultaneously. Those sections where there are heavy losses should be subjected to stock verification frequently.

Based on the coverage, stock verification is of two types:

- i) **Complete Verification:** In this all the documents in the library are physically checked.
- ii) **Sample Verification:** In this only a specific part (sample) of the total collection is verified.

The Government of India has issued guidelines relating to stock verification in libraries. It states as reasonable loss of **three volumes** per one thousand volumes issued/consulted in a year. However, such losses should not be due to dishonesty or negligence on the part of the librarian. Loss of books of the value exceeding Rs.200.00, rare or special books should be investigated and action taken. All such books can be written off by a competent authority only. It also provides that stock verification should always be subject to surprise checks by some independent officers.

**FREQUENCY OF STOCK VERIFICATION**  
(according to guidelines issued by the Government of India)

Total document collection	Whether complete or sample verification to be done	Frequency
Upto 20,000 volumes	Complete verification	Once in a year (If the library has only one qualified library staff member, then the verification may be done atleast once in three years.)
20,001 to 50,000 volumes	Complete verification	Atleast once in three years
Above 50,000 volumes	Sample verification (If such verification reveals unusual or unreasonable shortage, then complete verification should be done.)	Atleast once in five years.

### 3) Closing the Library

It is a normal practice for the library to close down completely whenever they take up stock verification work. This disrupts the rhythm of library service and it should be avoided. We can select those stock verification methods (such as the one using shelf list cards) which do not require closing the library or limiting the reader services.

### 4) Who Should Do Stock Verification?

Generally audit is done by persons who come from outside agencies/ government departments. This is a statutory requirement. But, in practice an exception has been made in case of libraries wherein their stock is certified often by library professionals only. It is preferable if the library stock checked by library professionals as they have intimate knowledge of various library sequences (collections) and are better equipped to trace any missing books.

### Self-Check Exercise-5

A library has over 50,000 documents. How often should stock verification be done by it according to the guidelines issued by the Government of India? Should it be sample verification

or complete verification?

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## 19.7 WEEDING

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Soon after stock verification, it would be possible for a library to undertake the work of weeding out books from its stock. Weeding or discarding is the process of withdrawing unservicable reading materials from circulation in a library. The following types of books are weeded out:

- i) **Old Editions:** Sometimes following the publication of new editions, the old editions become outdated. They can be weeded out. However, it should be done with great care since some of the old editions may contain certain useful material not included in the new edition.
- ii) **Obsolete Books:** The thought content of some books may become obsolete and sometimes they may provide wrong information. Such outdated books can be safely withdrawn from the collection.
- iii) **Torn or Damaged Books:** If the books are heavily used, then they are likely to be torn or damaged. The condition of the book may be such that it can no longer be used by the reader. In such cases, these books, which are shabby and cannot be bound, can be weeded out. If there is demand for any such book, then a new copy could be purchased and replaced.
- iv) **Unused Books:** In libraries, there are likely to be some books which are never used by the readers. Such books can be removed from the active collection and deposited in a store room/ repository,

### 19.7.1 Advantages:

- i) It provides adequate space for book stock that is being used actively.
- ii) Removal of shabby and torn books makes the collection much more attractive and appealing.
- iii) The library collection is likely to be extensively used as the readers find new books or latest editions of books on the shelf.

### 19.7.2 Disposal of Weeded Materials

The weeded out materials can be disposed off in any of the following ways:

- i) Gifting to local libraries which are likely to utilise them.
- ii) Sending them to depository centres at the regional/state/ national level.
- iii) Maintaining a separate sequence of weeded out books in the library.
- iv) Selling them as waste paper.

### 19.7.3 Process

Weeding out of unwanted books has to be undertaken periodically. The guidelines issued by the Government of India allow the librarians to dispose mutilated/damaged/obsolete volumes if it serves the best interest of the library. However, they prescribe that disposal of such volumes should be done on the recommendation of a three-member committee appointed by the Administrative Machinery/ Department. The committee should certify that the books mutilated/damaged/obsolete are not fit for use. Weeding out should be done by the librarian exercising great care, following the prescribed procedure and with utmost caution.

#### Self-Check Exercise-6

Mention the types of materials that can be weeded out of a library.

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

ii) Compare your answer with the model answers given at the end of this unit.

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### 19.8 SUMMING UP

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In this unit, we have seen that the maintenance section of a library plays a vital role in the proper arrangement, display and upkeep in good physical condition of the various library documents. This is done to ensure that the documents required by the readers are made available to them quickly and easily. The maintenance section performs a variety of functions such as replacement of documents in shelves, location of documents, shifting of collections, preparing and maintaining guides, maintaining the documents in good condition, shelf rectification, stock verification, arranging for repair and binding of damaged books and maintaining vigil in the stack area to avoid thefts. The ultimate purpose of all these activities is to encourage and facilitate the maximum use of the library collection by the readers.

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### 19.9 MODEL ANSWERS TO SELF-CHECK EXERCISES

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1(a) The functions of maintenance section are:

- i) shelving
- ii) document location
- iii) collection movement
- iv) dusting and cleaning
- v) guiding
- vi) document maintenance
- vii) shelf rectification
- viii) maintenance of shelf list

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## **UNIT-20 : BINDING AND PRESERVATION**

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### **Contents**

- 20.0 Aims and Objectives
- 20.1 Introduction
- 20.2 Binding
  - 20.2.1 Objectives of binding
  - 20.2.1 Binding Policy of Libraries
  - 20.2.1 Binding of Certain Special Types of Documents
- 20.3 Binding Process
- 20.4 Types of Binding
- 20.5 Specifications for Library Binding
  - 20.5.1 Dr. S.R. Ranganathan's Guidelines.
  - 20.5.2 American Standards for Binding
- 20.6 Binding Materials
- 20.7 Binding Organisation and Management
  - 20.7.1 Home Binding Vs Commerical Binding
  - 20.7.2 Factors in the Choice of Binder
  - 20.7.3 Duties of Binding Section Incharge
  - 20.7.4 Binding Personnel
  - 20.7.5 Binding Register
- 20.8 Preservation: An Introduction
- 20.9 Destructive Agents of Library Materials
- 20.10 Preservation Methods
- 20.11 Common Insects and Their Prevention
- 20.12 Air-Conditioning
- 20.13 Non-book Materials
- 20.14 Protection of Library Building
- 20.15 Summing Up
- 20.16 Model Answers to Self-check Exercises
- 20.17 Recommended Books
- 20.18 Glossary

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### **20.0 AIMS AND OBJECTIVES**

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This unit aims to introduce you various binding and preservations methods used in libraries.

After studying this unit, you should be able to:

- understand the objectives of library binding and criteria for binding of various types of documents.
- describe the process of binding.

- identify the various types of binding and their use.
- familiar with the materials used and specifications for binding.
- have an idea about the organisation and management of binding section in a library.
- discuss the need for and methods of preservation.
- identify the various destructive agents of library materials.

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## 20.1 INTRODUCTION

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It is universally admitted that a library is a growing organism and the main parts of the organism that are capable of growth are the books, the readers and the staff. Thousands of books and periodicals are daily published all over the world. Each library adds to its collections some reading materials according to its funds and policies. Books and periodicals are issued to readers for their use. In this process naturally, wear and tear of the reading materials is inevitable. Some materials not of lasting value are weeded out and written off but there are some publications which are repaired for the constant use of readers. It is here that the need for binding and repairing of books and periodicals comes into picture.

Book binding is the art of attaching stout covers by means of tapes or cords to the sewn gatherings of books for their protection and convenience of handling, and originated when the codex form displaced the rolled manuscript.

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## 20.2 BINDING

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### 20.2.1 Objectives of Binding

The major purpose of binding is to strengthen the book so that it can bear the wear and tear of the readers' use and to enable us to preserve them for future use.

The three major objectives of binding are:

- to increase the **life span** of the book through protecting it within certain covering materials such as cardboard, leather, rexin, plastic sheets, etc.
- to add to the **durability** of library documents. (Durability means maintaining in good shape when in use).
- to enhance the **aesthetic appearance** of the various library documents. If the damaged books are properly repaired and bound, then they are likely to attract more number of readers.

### 20.2.2 Binding Policy for Libraries

The practice of getting the books and periodicals bound varies from library to library. Some libraries get their materials bound through the commercial book binders, while some prefer to have their own binders.

At times, the question arises whether a paperback edition or a book has to be bound as soon as it is purchased or after its use for some time when the cover becomes loose and the stitching breaks. Some libraries prefer binding of books as soon as they are purchased while some others only after they are damaged. This is one of the reasons why the library prefers purchasing library editions, which are bound originally. Even these types of bound books need to be rebound after some time when they are worn out and torn. The books that are originally

bound possess case binding and hence need not be bound completely because they retain their cardboards intact, but require only repairs with calico and stitching.

The question of binding should also be discussed not just from the points of view of decoration and economy, but from the perspective of utility and strength and its strength to withstand wear and tear resulting from constant use.

### What is to be bound?

The librarian is the person who has the ability to say that a particular type of book requires a particular type binding. Binding of books is not a big problem in the case of scientific and technological books and reference books like dictionaries, directories and encyclopaedias which are originally case-bound according to their value, use and requirement. But it is a problem with fiction and other language books and especially with books published in India.

### Criteria for Book Binding

All the books do not require the same attention. Only books that require binding should be bound and the rest discarded, and withdrawn from the stock. For example, fiction books need not be paid much attention with regard to their binding. Subject books on sciences, humanities, technology, reference books, manuscripts, etc., should be bound according to their purpose and utility. Apart from the cost of the book, its utility and purpose, the number of readers using it should be the criteria for book binding. Even as regards back numbers of periodicals, the merits of various types of binding like leather binding with gold-lettering (Law-book binding), full calico binding, half leather binding, ordinary type of binding and wrapper binding should be considered before taking the final decision. A knowledge of the technical aspects of the binding work is a most valuable asset to the librarian. As the proverb goes, "a stitch in time saves nine". Unless the book is bound in time, it is not possible to preserve it.

W.R. Thurman, formerly binding foreman of the New York Public Library offered certain criteria for deciding the binding policy. He suggested that the librarian may ask himself the following eleven questions before sending a volume to the binder:

- i) How much use is the volume going to have?
- ii) In what way is it going to be used?
- iii) What kind of readers are going to use it?
- iv) How quickly does such a volume usually get worn out?
- v) At what points will it be likely to get most worn out?
- vi) How long are the contents of the book going to be timely and how soon will they have only historical value?
- vii) How much is the book worth now? How much is it likely to be worth in the future?
- viii) Can it be easily replaced now? Can it be easily replaced in the future?
- ix) Is it such a size and weight that it needs special attention of the binder?
- x) How about the kind of paper in the volume, plates, maps, inserts, etc.?
- xi) What is the present condition of the book or periodicals?

## 20.2.3 Binding of Certain Special Types of Documents

### (1) Periodicals

The periodicals department generally maintains close relations with the bindery, and participates in the formulation of binding routines. The department also has the responsibility of arranging the volumes for the binder and making sure that title pages, indexes, supplements, inserts, errata sheets and other parts are included in the volumes. Library manuals should provide guidelines for binding, quality of paper, format, intrinsic value, and possible or probable use.

### (2) Newspapers

Of all the source materials bearing upon the life of a community, the local newspaper is probably the most comprehensive, easiest to secure, and the most evanescent. Each newspaper file is expensive; the cost of subscription, binding, storing the bulky volumes, and servicing the newspaper back volume collection may quickly take up a large part of the library's budget. The library's responsibility for preserving local materials should be taken up seriously. Of course, the number of local newspapers purchased may create an acute problem. Most libraries will find it necessary to maintain a file of at least one large metropolitan daily. Rag-paper editions and microfilm editions of these publications tend to simplify this part of the conservation programme.

### (3) Pamphlets

Libraries collect pamphlets. If these materials are to be used to best advantage considerable attention must be given to their proper care. Some research libraries bind pamphlets much as they bind books in boards with cloth or paper covers. A few libraries group pamphlets on special subjects and bind them into volumes. Other libraries place pamphlets in vertical files, books or envelopes, or wire staple them into manila covers. The decision as to which method a library should follow will depend upon the emphasis placed on preserving pamphlet materials, their nature, probable use both present as well as future.

### (4) Binding of Other Reading Materials

Very thin items, especially if they are in a similar series, may be held, tied in boards, until thick enough to be combined into a regular cloth volume; but if they deal with varied subjects, they can be better bound as individual volumes. Some items are printed on paper which is of too poor quality or fragile for regular binding. If these materials are to be retained permanently, then they may have to be Japanese tissued or otherwise protected and then bound, or, they may be placed in cloth portfolios and marked to match other parts of the sets if these have been bound. Materials such as press releases, which have awkward formats insufficient margins, will also need special attention. As noted earlier, distinction should be made between items which are rare and those which require less expensive treatment. Finally, consideration should be given to the probable use of materials. Items that are likely to be heavily used may be bound in separate pamphlet style covers. On the other hand, items that are likely to be little used may be kept unbound indefinitely.

## Mending and Repair of Books

Whether the library maintains its own bindery or not, it will have to face problems of repair. The decision which needs to be made involves determining what to discard, what to rebind, and what to repair. Books in bad condition and worn out beyond repair should be considered for permanent removal from the collection. Outdated books, especially text books and technical books can be discarded.

Both fiction and non-fiction books which possess any of the following characteristics may rebound:

- heavily used continuously
- established as standard works
- expensive titles

Mending is done when

- pages are loose, torn or rumped.
- back is breaking at the joints, either at the top or bottom.
- spine or joints are broken.

#### Self Check Exercise-1

What are the three major objectives of library binding?

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

ii) Compare your answer with the model answer given at the end of this unit.

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### 20.3 BINDING PROCESSES

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The process of binding may be conveniently studied under the following 8 headings:

- Folding
- Gathering
- Sewing
- Gluing
- Rounding
- Trimming
- Covering
- Lettering and Tooling

#### i) Folding

Folding is done by hand with a bone folding-stick. Because of continuous practice, great speed and accuracy are achieved. Subsequent folds are made in the same manner to complete the section.

## ii) Gathering

The signatures, which may be a letter or figure, are placed by the printer for the guidance of the binder at the foot of the first page of each section. These are visible when folding is finished. The sections are gathered together in correct sequence according to the signatures.

Please remember that the above procedure is for binding of new books coming out of the printing press. In case of library books and periodicals, the following operations are necessary :

a) **Collation:** All the parts and pages of volume are arranged in correct order. For example, in case of periodicals, all the four issues of a quarterly periodical should be placed in proper order carefully.

b) **Pulling:** If an already bound book has to be rebound, then it has to be first "pulled", that is, separating cover from text, removing stitching threads, adhesives, etc.

## iii) Sewing

After gathering, the sections are sewn together. Sewing is done on a frame. The vertical cords stretched on the frame are primarily intended to fasten the book to the boards and they are responsible for the projections on the spine of the hand bound book. The binder has the set of sections before him, and he takes them one at a time and sews each to its neighbour on the frame, turning the thread round the cords and using a series of stitches of the kind hallowed by tradition. The final result is that each section, sewn through the middle is attached to its neighbour at head and tail by special stitches called "KETTLE STITCHES" and also to the cords. When all the sections are sewn, the cords are cut leaving a short length projecting at each side; these ends are called 'SLIPS' and will be used later in attaching the book to its boards.

But, first the book must be consolidated. This is done by hammering the edges where the folds lie and is completed by putting the book between boards and screwing it down in a standing press for a while. Before consolidation the book is a loose, floppy collection of sections, afterwards it has the firm, solid feeling familiar to every one.

## iv) Gluing

The spine is now given a coating of glue, which is applied with a brush and well worked in so that it penetrates between the sections and helps to hold them together. The glue is allowed to dry until it is elastic.

Then, the rounding of the spine is done.

## v) Rounding

Rounding is carried out with a hammer. The book is laid on a firm surface and tapped with the hammer until it assumes the correct shape, after which it is placed in a press between backing boards and the outer sections are tapped over to form the joint. Next the spine is covered with paste and left to soak until the glue is soft enough to be scrapped off, leaving a surface clear and clean again except for hair lines of glue showing where the adhesive has been forced between the sections. The book is then nipped up square and left to dry.

The boards in which the book is to be bound are cut to size so that they will project in the familiar way on the fore-edge, head, and tail when the edges of the book are trimmed later. They are lined with thin white paper, which as it dries, causes the boards to be drawn inwards. This helps to counteract a contrary pull when the cover is drawn later, which come against the spine,

the boards are pierced and through the holes the slips are threaded, frayed out, and hammered flat on the board and there glued in position. After this the book is ready for trimming and covering.

#### vi) Trimming

The edges of the book are trimmed after the boards are on. In hand bound books, only the head is trimmed usually. Trimming is done with a special plane or plough.

#### vii) Covering

The materials used for covering are of many kinds but leather principally (with vellum a poor second) appear to be the most popular. Hand cloth takes the lower place.

The leather is damped on the outside to prevent staining from the paste which is now applied on the inner surface (glue is used for cloth) and after soaking for a few minutes the cover is carefully drawn on over the spine and boards. After the spine, the leather is smoothed over the boards, turned in over the edges and pasted down on the inside, where the edges are trimmed square.

There is much fineness about the addition of end papers to handbound books. The ordinary end paper is simply a sheet of string paper. It becomes the first leaf of the book. Technically, it serves to conceal the mechanics of binding. For the reader it is like a theatre curtain, the lifting of which commences the show.

#### viii) Lettering and Tooling

The book is now ready for lettering and tooling. Gold lettering and tooling is done in real gold. Substitutes may get tarnished while gold stays bright.

**Blind Tooling:** Blind Tooling consists of simply putting impressions in the leather, that is, without gold. It is done by impressing the heated tool on the material. Then an impressing is made corresponding to the pattern on the tool. It is an effective method of design, either alone or in conjunction with gold tooling.

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## 20.4 TYPES OF BINDING

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The various types of binding are:

- a) Full Leather Binding
- b) Half Leather Binding
- c) Full Cloth Binding
- d) Half Cloth Binding
- e) Hard bound books
- f) Paper backs
- g) Perfect binding

a) **Full Leather Binding :** In this, cardboard is covered wholly with leather. This binding is used for expensive and rare books. Generally, it is employed for reference books like encyclopaedias, dictionaries, atlases, directories etc. The major disadvantages of this method are high cost and need for constant care.

b) **Half Leather Binding** : Only the spine and half portion of the cardboard are covered with leather; the remaining portion is covered by materials such as rexine, cloth, marble paper, etc. Book covers may also be covered with leather in some cases. This method is often used in Indian libraries for back volumes of periodicals.

c) **Full Cloth Binding** : In this, the cardboard is totally covered with cloth. This method is widely used for heavily used documents such as popular books, standard works, text books, etc.

d) **Half Cloth Binding** : Cloth is used for covering only the spine and corners of the book. The remaining portion is covered by inexpensive materials such as paper, laminated decorative sheets, marble etc.

e) **Hard Bound Books** : Often the publishers bring out hardbound editions of their books. As such, there is no immediate need to get them bound. In this type of binding, the book is enclosed in a cardboard cover with thick paper attached to it. On the inside of the cover near its spine, section stitch and a piece of cloth are used to add to the stiffness and durability of binding.

f) **Paper Backs** : This method is used for popular fiction books and pocket books which are sold at cheap rates. In this method, a single sheet thick paper is used to cover the book. This paper cover is just pasted to the spine of the book. Section stiches are used to hold the papers.

g) **Perfect Binding** : This is a temporary method of binding. In this all the pages of the book are pasted near its spine side only. Then it is covered by a thick paper cover. There are no section stiches even. In other words, the adhesive acts as a substitute for stitching. This is not recommended for library use and is often utilised for letter pads, paperbacks of popular fiction, etc.

**Library Reinforced Binding** : This refers to the practice of strengthening the book through attachment of some additional materials. It may be strengthening the hinge with cloth or a page with plastic sheets, tissue, etc.

### Self-Check Exercises-2

(a) List the eight steps of binding process.

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

ii) Compare your answer with the model answer given at the end of this unit.

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(b) What are the various types of binding?

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## 20.5 SPECIFICATIONS FOR LIBRARY BINDING

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### 20.5.1 Dr. S.R. Ranganathan's Guidelines

Dr. S.R. Ranganathan had provided detailed specifications for the binding - both rebinding as well as first time binding - of library documents. Let us look at them briefly:

i) **Collection:** All books received by the contractor are to be examined and collated and any found to be imperfect or seriously damaged are to be returned unbound to the Librarian.

a) A periodical shall not be held to have been collated properly nor to be perfect, unless all the parts of a volume are bound in correct sequence of pagination and the usual title.

b) Wrappers and advertisements in periodicals and books are to be bound in, if the contractor is instructed to do so; otherwise, they are not to be bound in.

ii) **Sewing:** Books printed on paper of good quality are to be sewn one sheet on (except where thinness of paper makes it necessary to sew two sheets on) with unbleached thread of suitable thickness over unbleached linen tapes. Books printed on soft, spongy or brittle paper are to be lined at inner and outer folds with strips of thin but tough paper before they are sewn. All sections broken at the back are to be lined with tough paper or linen strips, and where necessary neatly overcast on modern methods of cross stitching before being sewn to the tapes. The first and last sections of all books are to be enclosed at back in linen strips. All separate leaves, plates, maps, plans, etc. are to be mounted on guards of linen, or tough thin paper and to be sewn in. Pasting on is not to be permitted. Two of the tapes are to be placed within one inch of the head and tail of each book. Straight-line machine stitching will not be accepted.

iii) **End papers:** End papers are to be of good tough opaque paper of approved mild colour, with at least one plain white leaf between each of them and the printed matter. The end papers are to be made with strong linen or cloth and to be sewn on as a section.

iv) **Cutting edges:** Unless otherwise instructed, the contractor is to cut edges of books accurately and to take care to leave margins as wide as possible.

v) **Forwarding:** Unless otherwise directed, all books should have French joints and tight or close flexible backs with the covering material attached directly to the back-tapes firmly inserted between split boards.

Leather is not to be unduly paired down or unduly stretched in covering. The covering material of back is to extend over boards to a depth of one-sixth of the width of the book. All books should open up freely and lie flat.

vi) **Lettering:** Lettering is to be impressed in best gold directly on to the material which covers the book.

vii) **Sizes:** The size of a book is to be determined by the measurement of the board, the square of which must not exceed one eighth of an inch in books upto the crown octavo, and proportionately for larger sizes.

## 20.5.2 American Standards for Binding

In 1935, the American Library Association prepared a standard for library binding, namely, "*Minimum Specification for Class A Library Binding*". In 1939, in collaboration with the Library Binding Institute, it formulated another standard, namely "*Standard for Reinforced (Pre-Library Bound) New Books*". These standards are revised at periodic intervals. Extracts from these are give below as they provide us valuable information about the many vital aspects of binding.

- i) All books shall be carefully collated before being taken apart to detect any missing or damaged leaves or any peculiarities of paper or constructions that might take rebinding inadvisable.
- ii) All tears through print shall be mended with Japanese tissue or onion skin bond, and all tears in margins with bond paper of suitable weight.
- iii) Books unsuited for oversewing shall be prepared and reinforced through their folded sections.
- iv) Books that are to be oversewed shall be divided into uniform sections, each section not to exceed .050 inch in thickness, except flexible pulpy paper which may be thicker sections not to exceed .60 inch each.
- v) All end papers shall consist of three functional parts; apaste-down or outward end-leaf which becomes the cover lining; at least two free-leaves, and reinforcing fabric.
- vi) The construction of end papers shall be such that the sewing will go through the reinforcing fabric the same as through the sections of the book.
- vii) Most books having proper inner margins and suitable paper shall be sewed with thread by oversewing method, either by machine or by hand. If sewed by machine, all sections shall be pasted. No oversewing shall exceed 3/16 inch from the back of the edge of the volume and no nearer to the head and tail than 1/2 inch.
- viii) All books shall be trimmed as slightly as possible.
- ix) Edges shall be sprinkled, stained or left plain as instructed.
- x) Backs of books shall be glued with approved flexible glue, well rounded and backed, and lined with approved canton flannel extending to within 1/4 inch of head and tail of books and well into each end paper (approximately 1 1/2 inches.)
- xi) Covers shall be made of heavy weight starch-filled or pyroxylin-filled buckram or drill-base pyroxylin-coated material of a quality at least equal to the standards set forth in part v of these specifications.
- xii) Covers shall be made cover hard-rolled binders board, with uniform squares, in a neat manner. The thickness of the board shall be suited to the size and weight of the book.
- xiii) Books shall be cased in with glycol paste and pressed between metal- edged boards until thoroughly dry.
- xiv) Lettering shall be done after proper sizing in clear type of a size appropriate to the book in style and position as instructed, using x-x-23 carat gold deeply impressed to insure long adhesion to the cover.

xv) All books shall be sprayed or treated with a protective material evenly and lightly applied over their lettered backs.

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## 20.6 BINDING MATERIALS

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The various materials required for a binding section can be grouped under 3 categories:

- a) Covering Materials
- b) Lettering and Tooling Materials
- c) Machines and equipment
- d) Miscellaneous

**a) Covering Materials:**

- i) Suitable leathers for binding.
- ii) Book cloth, calico and buckram for binding.
- iii) Suitable paper for binding such as high cellulose containing paper, waxed paper, end and lining paper.
- iv) Good record paper
- v) Japanese tissue, parchment paper
- vi) Good quality silk and white muslin cloth, calico for repair and mending of books.
- vii) Card boards of various sizes.
- viii) Thread.
- ix) Paste and glue.
- x) Cord for reinforcing upper and lower edges of new spine.

**b) Lettering and Tooling Materials :**

- i) Gold coloured coated paper.
- ii) Letters made of lead.
- iii) Gilding machine with electrically operated equipment.

**c) Machines and equipments required for book binding:**

- i) Hard press (Small press).
- ii) Rounding machine.
- iii) Electrically operated (power) cutting machine and hand operated cutting machine.
- iv) Pinning machine.
- v) Card board or hard board cutting machine.
- vi) Hammers.
- vii) Needles and Book Saw.

viii) Stove for the preparation of paste/glue or an electric glue pot.

ix) Brass pot for cooking paste.

**d) Miscellaneous :**

- 1) Mending materials such as art gum erasers, ink erasers, steel erasers, ink eradictors, alcohol and gasoline used as solvents to remove oil spots and stains, white soap, vinegar, sand paper, shellac and book lacquers for water-proofing, vulcanised brush with metal handle for applying shellac, plastic book sprays.
- ii) General office shears, a sharp pointed knife, two or more bone or plastic folders, dusting powder, a straight ruler with steel edge, brushes, blotters, cord for reinforcing upper and lower edges of new spine.

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## **20.7 BINDING ORGANISATION AND MANAGEMENT**

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### **20.7.1 Home Binding Vs. Commercial Binding**

As we have already seen, the library may get documents bound in its own bindery located within the library or it may entrust the work to an outside binder.

There are both advantages and disadvantages in the library maintaining its own bindery.

**Advantages :**

- i) It is always economical and reduces the cost of binding.
- ii) Personal supervision can be done and application of special methods to the needs and conditions of the library is possible.
- iii) Experiments in cheaper binding can be made.
- iv) The documents, if required for immediate reference, can be consulted within the library even when they are in the process of binding.
- v) It saves the time and labour of the staff in preparing binding list, accounting and bundling up.

**Disadvantages:**

- i) Additional investment of capital in equipment, space, and facilities necessary for the organization of a bindery. This will result in an increased fixed cost to the library. These and other expenses, will place a burden on the library which will be difficult to reduce even after several years.

All costs, both fixed and variable, must be predicted accurately and then compared with the money spent for commercial binding for determining whether a bindery in the library would be a saving or an extra burden. In rare instances will it be wise for the management to allow convenience to outweigh financial considerations.

### **20.7.2 Factors in Choice of Binder**

Outside commercial binders may be selected by calling quotations or through open selection. The librarian has to take into account the following factors at the time of selection of binders:

- quality of workmanship
- location of bindery
- financial resourcefulness
- capacity to undertake the work load
- past experiences of other local libraries with that binder
- promptness in delivering bound volumes
- provision for security of documents such as their safe location, security deposit, etc.
- rates quoted for binding.

### 20.7.3 Duties of Person-in-charge of Binding Section

The American Library Association has stated that the following should be the duties of the person-in-charge of the Binding Section:

- i) determining methods and techniques for preservation:
- ii) establishing policies concerning binding, mending and discarding;
- iii) preparing binding specifications :
- iv) making final decisions on items to be bound, mended or discarded;
- v) negotiating with binding agents if there are any; and
- vi) supervising up-keep processes.

Other duty of person-in-charge of binding is maintaining stock of various types of covering materials like leather, cloth and buckram, card boards, etc. which his library prefers.

### 20.7.4 Binding personnel

At least one person in the library bindery should be thoroughly skilled in the details of binding operations. The head of the department, whether skilled or not, should have intimate knowledge of binding materials. He should be methodological towards work and possess supervisory skills.

The following is staff pattern for the bindery in a library:

- |    |                     |   |      |
|----|---------------------|---|------|
| 1. | Chief Binder        | - | one  |
| 2. | Binder              | - | Two  |
| 3. | Asst. Binder        | - | Two  |
| 4. | Revisers/Attendants | - | Four |

The expansion of the staff will depend upon the increase in work load.

### 20.7.5 Binding Register

Libraries can maintain records of documents sent for binding in the form of a register or on cards. The various columns in a binding register are shown below:

Name and address of the Library

Sl. No.	Date of Despatch	Call No.	Author	Title	Kind of Binding	Date of Receipt	Cost of Binding Rs. Ps.	Payment Voucher No.
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Binding register serves the following purpose:

- provides a permanent record of documents sent for binding.
- meets the needs of audit
- payments towards binding can be easily calculated.

For quick and easy location of information about books sent for binding, the library can maintain the above record on cards also. These cards can be arranged by title.

**Self-Check Exercise-3**

What are the duties of incharge of the Binding Section as suggested by the American Library Association?

- Note:- i) Write your answer in the space given below.  
ii) Compare your answer with the model answer given at the end of this unit.

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**20.8 PRESERVATION: AN INTRODUCTION**

Before we take up the various preservaton techniques that can be used in libraries, it is necessary for us to understand the meaning of the following three terms: **conservation, preservation and restoration**. **Conservation** means preservng from the destructive effects, natural decay or waste. Conservation has two main components: i) preservation and ii) Restoration.

**Preservation** is the process which tries to resist or delay the harmful (destructive) effects of the various factors in environment:

**Restoration** is the process which seeks to improve the physical condition of the object so that its original or almost original condition is regained. This is done by either totally or partially removing the effects of the environment.

A library is a store-house of human knowledge. This knowledge is generally kept in records, which are made of paper and leaf and these records are housed in materials composed mainly of wood, glass, iron, leather, fabric and paper.

Every thing in the world decays in course of time. But science attempts to keep them in good trim for a certain length of time. It is an onerous task to preserve library records. But at the same time modern scientific researchers are finding out means of saving human records from the attack of hostile forces.

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## 20.9 DESTRUCTIVE AGENTS OF LIBRARY MATERIALS

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The destructive agents of library materials are mainly of seven kinds:

a) Climate b) Insects c) Light d) Moisture e) Atmospheric conditions f) Dust and dirt g) Bacteria and fungi

### a) Climate

Sudden variations in temperature and moisture are the two most deteriorating factors for most of the articles of a library. So it is necessary to adopt means to keep the articles in such a way that they may be in a comparatively uniform temperature and in dry places. To secure them against variations of temperature and moisture, scientific preservation should also be used where necessary.

### b) Insects

Insects of various kinds eat into the vitals of wood, leather, fabrics, paper, board, buckram, etc. In preserving the life of these materials, careful treatment by chemicals is sometimes essential.

### c) Light,

Certain colours on papers, fabrics etc., fade and become soft and their mediums become fragile under the action of direct sunlight. Injury is also caused by the diffused day light but not so much as by direct sunlight. The complete protective measure is darkness, but it has practical disadvantages. To compromise between the two and from economic as well as from aesthetic points of view, the satisfactory colour to be taken into consideration should be one near the middle of the spectrum, the yellow tint.

### d) Moisture

It contains carbon-dioxide derived from the air and sulphur acids from the burning coal or coal gas. It plays an important role on the following:

- i) The life of bacteria and fungi
- ii) Fading
- iii) Action of salt

Here the most vital thing is to remove the moist air. This can be done by proper ventilation. The use of calcium chloride inside the showcase or almirah has proved to be useful.

#### e) Atmospheric conditions

If the temperature runs on a very great range the condition of the object becomes very bad. In high temperature, parts of the object sometimes crack and in low temperature squeeze, provided the two temperatures run in variation of 24 hours. To avoid this condition, as far as possible, an equable temperature should be maintained.

#### f) Dust and Dirt

Directly these do not cause damage to the object but they accelerate the action. For this, occasional cleaning is required and the best remedy suggested is to use dust and dirt proof steel showcases.

#### g) Bacteria and fungi

Bacteria and certain vegetable growths such as lichens and fungi are the main destructive agents to an old object. Moisture and warmth accelerate the growth of these bacteria and fungi. The protective measure is to keep the objects in dry conditions.

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### 20.10 PRESERVATION METHODS

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Preservation of library materials involves:

- ascertaining the constituent elements of the object to be preserved.
- finding out the cause of change or deterioration of the object.
- adopting suitable means to remove the cause of damage and to counteract the destructive agents.

Objects, specially of organic materials, are liable to be attacked and sometimes are quickly destroyed by insects. The larvae of beetles and moths, cockroaches, silverfish and white ants are the enemies with whom we have to fight. These insects can be removed or killed in the following two ways.

a) **By taking preventive measures:** This can be best done by frequent inspection, cleaning and keeping naphthalene balls or camphor cakes or raw lime cakes. A powder of orrisroot (bach), cloves (lavanga), black pepper and cinnamon may be taken in equal proportion, dried, powdered and kept in small cloth bags and put on the book shelves. This powder is to be changed at an interval of about 3 months. This country-made preservative powder consisting of cloves, cinnamon, etc. is quite good for small libraries but it is costly for big libraries and archives because considerable labour is required when a large amount of the preservative has to be mixed and put in bags.

b) **Destroying the insects by fumigation:** It should be done with the following chemicals:

- i) Carbon-dioxide
- ii) Formaldehyde (Formalin)
- iii) Carbon-disulphide
- iv) Thymol
- v) Three parts of ethylene-dichloride and one part of carbon-tetrachloride.

#### d) Other Preservative measures

The following preventive and curative measures can also be taken in a library:

- i) Free circulation of air at a regular interval of fortnight or a month.
- ii) Dusting of books at regular intervals. It should be remembered that dust invites bookworms.
- iii) Books should be exposed to sunlight for a short time as long time exposure may render the paper brittle. Under the direct sunrays, eggs and larvae of the insects cannot live.
- iv) Phenyl or crude creosote diluted with kerosene oil should be sprinkled on the shelves and naphthalene balls of camphor should be spread on the sides of the books.
- v) Dry neem (*Melia azadirachta*) and tobacco leaves should be placed inside the folds of the book's pages.
- vi) Books should be treated with some insecticides. The chemicals used as insecticides are:
  - Corrosive sublimate
  - Carbolic acid
  - Methylated spirit

To the covers of the books, both inside and outside, this solution should be applied, four times a year, by means of brush.

Another solution of rectified spirit, mercuric chloride and phenyl may be effectively used in the same manner.

Further a solution of rectified spirit, corrosive sublimate and creosote may be effectively applied with a brush in the joints and in-between every ten or fifteen pages of the books. A little of this solution can also be safely added to the paste used for binding books.

**Shell Tax:** It is product of Burma Oil Company (now Indian Oil Company) and is very effective against the insects specially white ants. Without any injurious effect, it can be used safely on paper, cloth, leather and photoprints.

When books, documents, almirahs and shelves are attacked with insects, benzene should be immediately used as a curative. In cases, where the rooms are kept closed this chemical serves well.

Spreading a mixture of chopped tobacco and pepper in equal proportion on the racks and shelves of the almirahs where books are kept is also effective. It is also advisable to add Keating's insect powder to this. Pepper may be substituted by camphor. But whatever may be the ingredients, they should be changed every two or three months. This preservative is quite good for small libraries but it is expensive for big libraries.

When library materials are terribly attacked with insects, the remedial measure is fumigation by suitable fumigants.

#### Self-Check Exercise-4

- a) Mention the destructive agents of library materials?

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

- ii) Compare your answer with the model answer given at the end of this unit.

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b) Which chemicals are generally used in fumigation for destroying insects?

## 20.11 COMMON INSECT PESTS AND THEIR PREVENTION

### Insect

#### Preventive and curative measures

#### i) Cockroaches

- a. Various kinds of commercial insecticides may be used.
- b. A mixture of 12 parts of sodium fluoride in 100 parts of flour, a white powder bait can be sprinkled in the haunts of cockroaches. It should be borne in mind that sodium fluoride is poisonous to human beings.
- c. Borax may be sprayed in the places where they are likely to encounter.
- d. Camphor balls and naphthalene cakes are effective in keeping books free of these insects.
- e. Baygon spray, a commercial insecticide, may be used for destroying them.

#### ii) Silverfish

- a. Maintaining a high degree of cleanliness.
- b. Spread a mixture of lactic acid and flour where they are likely to encounter.
- c. A mixture of 12 parts of sodium fluoride in 100 parts of flour may be used.
- d. Sprinkling of phenyl water.
- e. Baygon spray is very effective in keeping books and documents free of these insects.
- f. Naphthalene and camphor cakes may be used over the shelves.

#### iii) Bookworms

- a. Naphthalene in the form of blocks or paradichlorobenzene crystals will give off fumes which will repel the beetles.
- b. Book in which live bookworms have been found may be put into an airproof cabinet or container with paradichlorobenzene crystals. The crystals should remain in the container for at least a fortnight.

temperature and humidity and clean air is by central air-conditioning. This system is efficient when designed into new construction but it can be installed in existing structures too.

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### **20.13 NON-BOOK MATERIALS**

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The recent development of microcards and of microfilming materials and techniques is too well known now-a-days. The bibliographer may dislike and distrust microfilm, the learned scholars may deplore the discomfort of using it but it remains at least a possible way of preserving and transmitting printed texts. Its use for newspapers is a saving on every score. It saves binding costs, shelf space, and there is nothing of repairing expenses.

#### **Protection**

Non-book materials like books need to be given proper care and attention. Films, even those on cellulose acetate, can suffer real damage while in use and storage. Dust, heat, and humidity are harmful to film as well as to paper. Dust and dirt in contact with the film can very easily scratch it. Like books, microfilms with excessive humidity attract the growth of mould or mildew over the films, and there is also chance of the rusting of the spools on which the films are wound. Whatever microfilm reader is used, it must be protected from dust and should be operated with consideration for the film itself. Keeping all the above hazards in view it is suggested that air-conditioned storage is important for the non-book material.

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### **20.14 PROTECTION OF LIBRARY BUILDING**

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The library building should be well protected from destruction by hurricanes, typhoons, earthquakes, tidal waves, heavy rains etc. The librarian concerned with planning a new building must take account of the immediate environment of his library. Libraries should always have lightning conductors fitted to the roof. Sun glare must not be allowed to penetrate as it will damage the books. Ground floor windows need metal burglar-proofing. Dianol may be added to paints as an insecticide when paint work is executed. To safeguard against the possibility of fire, every library should be equipped with fire extinguishers, preferably carbon dioxide type. The best protection any collection of books can have is a concrete building, preferably air-conditioned, carefully designed by a librarian and an architect working in conjunction. Finally it is always better to get the building insured.

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### **20.15 SUMMING UP**

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A bindery may be set up in the modern library so as to expedite the binding work with the assistance of skilled craftsmen and under the supervision of a chief of the department who is conversant with the binding techniques and mechanics. In comparison with commercial binders, library bindery is most convenient, economical and time-saving. Apart from the various kinds of binding operations mending and repairing of books can be carried out. The budget allocation for binding materials and for the purchase of tools and equipments will depend upon the financial resources of the library and it may vary from library to library.

The operations involved in binding are simple. It is a continuous process throughout the year. To suit the Indian conditions, and in view of the availability of low cost paper backs at cheaper rates, the hand binding may be preferred by the library within the budget sanctioned for this purpose. For neat and tidy up-keep of the library materials, a separate bindery is a must in the big libraries. Normally 10% of the amount allotted for current periodicals subscription may be set aside in a year for binding of periodicals.

Problems of preservation should receive regular and systematic attention of senior members of the library staff. Cleanliness is the most important factor and calls for great and unremitting care. Books should not be packed too tightly on the shelves. It is always better in all libraries in which readers are admitted to the shelves to have a daily shelf checking or stock rectification. This first thing to be done is to check the order of the books, and as they pass along each shelf, watch should be kept for books showing signs of damage such as loose pages or torn bindings or effected with fungi, etc. Such books should be taken out for repair and proper preservation. After a reasonable amount of practice, this work can be done very quickly and its regular performance gives the library well-kept appearance.

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## 20.16 MODEL ANSWERS TO SELF-CHECK EXERCISES

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1) The three major objectives of library binding are to:

- increase the life span of the book.
- add to its durability.
- enhance its aesthetic appearance.

2)(a) The eight steps of binding process are:

- i) Folding
- ii) Gathering
- iii) Sewing
- iv) Gluing
- v) Rounding
- vi) Trimming
- vii) Covering
- viii) Lettering and Tooling.

2(b) The various types of binding are:

- i) Full Leather Binding
- ii) Half Leather Binding
- iii) Full Cloth Binding
- iv) Half Cloth Binding
- v) Hard Bound Books
- vi) Paperbacks
- vii) Perfect Binding.

3. The duties of the incharge of the Binding Section are:

- i) determining methods and techniques for preservation;
- ii) establishing policies concerning binding, mending and discarding;
- iii) preparing binding specifications;
- iv) making final decisions on items to be bound, mended or discarded;
- v) negotiating with binding agents if there are any; and
- vi) supervising up-keeping processes.

4.(a) The destructive agents of library materials are:

- i) Climate
- ii) Insects
- iii) Light

- iv) Moisture
- v) Atmospheric Conditions
- vi) Dust and dirt
- vii) Bacteria and Fungi.

(b) The chemicals generally used in fumigation for destroying insects are:

- i) Carbon-dioxide
- ii) Formaldehyde (Formalin)
- iii) Carbon-disulphide
- iv) Thymol
- v) Three parts of ethylene-dichloride and one part of carbon-tetrachloride.

5. The preventive and curative measures that are taken for controlling mildew or moulds are:

- i) Storage in light and well ventilated rooms where books are kept dry.
- ii) Thymol fumigation.
- iii) Applying anti-fungal chemical varnishes on book covers such as

Shellac flakes, Mastic, Sandrac, Camphor, Alcohol, Oil of Lavender and Mercuric Chloride

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### 20.17 RECOMMENDED BOOKS

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Mehta, S.P. *Art and Science of Book Preservation*. Pune: Swaraj Publications, 1976.

Mittal, R.L. *Library Administration: Theory and Practice*. 5th ed. New Delhi: Metropolitan, 1984.

Mukhopadhyay, Kalyan Kumar and Guha, Partha Subir. *Library Conservation*. Calcutta: Information Research Academy, 1990.

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### 20.18 GLOSSARY

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**Codex:** A manuscript book especially of scripture, classics, or of ancient annals.

**Collation:** Arranging in proper order all the parts and pages of a volume before binding.

**Fumigation:** Clearing harmful insects by means of chemical smoke or gas.

**Restoration:** Process of improving physical condition of an object to regain its original or almost original condition.

**Trimming:** Cutting the edges of the book.

BRAOU

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