AN ENVIRONMENTAL APPROACH TO DEVELOPMENTAL CONSTRAINTS
IN THE LIBRARY OF INTERNATIONAL UNIVERSITY--AFRICA

by
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APPROVALS
AND
STUDENT DECLARATION

"This is my original work and has not been presented for an award in any other institution."

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Chapter 1

INTRODUCTION

THE ORGANIZATION

International University--Africa (Nairobi, Kenya) is one of four associated campuses of which the others are United States International University (San Diego, California); International University--Europe (London, England); and Universidad Internacional de Mexico (Mexico City, Mexico).

Begun as United States International University, East Africa Campus in 1970, offering an Associate of Arts degree in Business Administration and certificate courses in management, the University gradually evolved into a fully accredited institution granting the following degrees:
1. Bachelor of Arts in Human Behavior
2. Bachelor of Arts in Psychology
3. Bachelor of Arts in Sociology-Anthropology
4. Bachelor of Arts in International Relations
5. Bachelor of Science in Business Administration
6. Bachelor of Science in Business Administration with emphasis in Accounting and Financial Management
7. Master of Science in Management and Organizational Development
8. Master of Business Administration.

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1 Hereafter also referred to as IU--A.

2 The University shared facilities with Nairobi International School, a secondary school which was expected to feed into the University.
THE PROBLEM

The very definition of a service institution, and in particular a not-for-profit service institution, implies the existence of management constraints not usually associated with manufacturing, retail, or other types of for-profit institutions.

One of the most fundamental of these is the lack of accountability of the organization to its clients because the source of organizational funds is not directly through the client. Conversely, however, the organization hasn't the leverage with respect to clients that direct accountability may provide.

Within IU—A Library, management dilemmas resulted from the fact that elements over which Library control was most possible were in fact not those with greatest impact on Library effectiveness during the period studied.

In this context and as a result of the uncertainty surrounding the development of the University itself and an apparent failure of University management to fully recognize the impact of Library development on the development of the University as a whole, International University—Africa Library found itself at a critical point in September 1930.

A reaction to existing conditions precipitated the need for a plan for change which might ensure the viability of the Library as an integral, impactful subsystem of the University.

It had become apparent that structural and functional modifications were necessary to prevent the Library from becoming a malignant appendage of the University rather than a vital organ sustaining its growth and development.

THE APPROACH

To understand the limitations to effective service particular to IU—A Library, it was necessary to 1) trace the significant historical factors resulting in the condition of the Library as of September 1980, 2) place the Library in the context of all major elements which affected it, that is, its environment; 3) determine to what extent relations with these elements could be controlled by the Library, and 4) determine which have had or might have the greatest impact on Library operations.

The degree of control appeared to vary with the frequency and type of interaction between the elements and the Library.
The more frequent and more direct the interaction, the greater the possibility of Library control. The greatest possibility for Library control existed over elements classified as internal, followed by those classified as boundary, and finally, by those classified as external.

Historical factors which influenced the condition of the Library as it was found in September 1980 were mentioned only as they influenced the pattern of change undertaken and as they reflected the major constraints to development existing at that time.

The Library was considered as part of its environment with emphasis on interactions between it and each of its boundary elements and the identification of significant problems. Limited comments were made on interactions and problem identification with respect to elements of the external environment in as much as the ability to control the external environment was limited.

Alternative courses of action were presented keyed to likely development possibilities for the University as a whole.
Chapter 2

HISTORICAL FACTORS

So far as could be determined, there has been no professional librarian, much less one with administrative training and experience responsible for the management of the University’s Library from the time it became an entity separate from and independent of the Nairobi International School in September 1976 until September 1980.

Apparently, the initial collection of library materials in support of university level courses was selected and sent to Nairobi by staff from the campus in San Diego during the time the University and the secondary school were sharing a campus. No records were found to indicate the size of the initial collection nor from which any reconstruction of collection development might take place. Such additions as were made were apparently through the efforts of a Mrs. Billie Crawford, a trained librarian whose primary area of responsibility was the secondary school collection, and by the occasional shipment of used items from the San Diego campus.

According to one who was a student library assistant at the time, the Library was not heavily used, materials were greatly supplemented by lecturers' personal collections, hours of service were irregular, and control over materials involved maintaining only an author card and title card for each title held.

Following the relocation of the university program to a temporary campus located on Ralph Bunche Road in Nairobi, the

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1 A serious impediment to information gathering was the scarcity of formal or informal records pertaining to the University in general and the Library in particular. Nor was there much of an informal organizational memory of Library matters save in the memory of a few.

2 Mr. Willie Mualindi.
supervision of the Library fell to Dr. Tom Gale whose experience and training were in academic fields other than librarianship. He managed the Library in addition to teaching a full academic load of three undergraduate courses per quarter.

Dr. Gale took his responsibility quite seriously and made concerted efforts to select and order materials, including serials, and to inject some form of collection control into the operating system. Although constrained by lack of time and professional library training, Dr. Gale nevertheless made some obvious progress in collection development but understandably was not able to establish a long-term objective nor develop viable policies and procedures.

One significant decision made during Dr. Gale's tenure was that the University—and the Library in particular—was to supply texts on loan to students and charge a book fee rather than requiring that texts be purchased by individual students. The decision was predicated on the fact that no constant local source for materials was available.

The purchase and control of texts added a function normally separate from library operations which significantly increased the work load of Library personnel and created expectations which proved very difficult to fulfill.

In an attempt to have new materials cataloged and classified systematically, a Mr. Emmanuel Wasala (diplomate from Makerere University, Kampala, Uganda) was hired by Director William Lacey in February 1978. Mr. Wasala was responsible to the Library Supervisor (Dr. Gale) and the University Director.

Judging from written remarks made by Mr. Wasala, the collection was in great disarray and contained a great number of outdated materials. He concentrated on cataloging and classifying materials and preparing a card catalog to provide access to the materials.

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3 Curiously, no certificate or diploma confirming Mr. Wasala's training was found in his personnel records.

4 Ironically, the author of this thesis was approached in late 1977 concerning working for the University as librarian.

5 Correspondence in Mr. Wasala's file included not only his application for employment but also all library correspondence between
There was no evidence to indicate that decision-making beyond the operational level occurred during Mr. Wasala’s tenure and ample correspondence in Library records to indicate a growing frustration on the part of University staff and administration with the services provided during this time.

From February 1978 to the time Mr. Wasala resigned in May 1979 and responsibility for the Library reverted fully to Dr. Gale, three directors had been with the University: 1) Dr. William Lacey, 2) Dr. Huber, and 3) Mr. Virgil Begman.

Details of succeeding Library clerks, attendants, etc., were not pertinent except to indicate that the University administration failed to act on a rapidly deteriorating situation which had serious repercussions. It must be noted, however, that the dearth of trained professional librarians in Kenya seriously hampered what attempts were made to correct the situation.

him and University administration officials.

6 In retrospect, the choice of cataloging and classification schemes was a poor one professionally from both a library orientation and a management perspective. Neither scheme matched those in use by most North American-styled universities, in particular those of the San Diego Walter Library, as well as those of the University of Nairobi, Kenyatta University College, and other libraries in Kenya with which IU—A Library had close relations.
Chapter 3

ENVIRONMENT: GENERAL

The environment of the Library has been defined to include all elements (entities) which influence or are related to the Library's ability to achieve its objective.

While the Library has—or should have—a significant impact on the operations and goals of a number of entities, it is—or can be—impacted significantly in turn by them.

Diagram 1 indicates the degree and immediacy of impact on Library operations and decision-making of the major elements of the Library’s environment.

Diagram 2 represents the Library’s relation to its environment with respect to its objective of providing sufficient, timely information in appropriate and useful forms and efficient access to information in support of various activities of the University with emphasis on curriculum support.

In effect, the relation of the Library to all elements other than International University—Africa is based on how each element contributes to or constrains the Library’s action to achieve its objectives.

The discussion of environmental elements which follows:

1. identifies the points of interaction between the Library and its elements,
2. in the case of IU—A, identifies the demands made on the Library,
3. identifies constraints to Library effectiveness due to controllable and uncontrollable elements,
4. suggests courses of action to remedy or eliminate problems or take advantage of opportunities.

The problems or opportunities discussed were chosen as representative of the broad areas of decision-making difficulties which existed in the hope that by enumerating and discussing them
INTERNATIONAL UNIVERSITY-AFRICA
1. Administration
2. Faculty
3. Students
4. Staff

LIBRARY
1. Admin
2. Tech. Services
3. Public Services

Information Supplies Services

OTHER BOUNDARY/EXTERNAL ELEMENTS
1. KLA
2. Other Libraries, Kenya
3. Suppliers, Local
4. Suppliers, Foreign
5. Other Associated Composites, etc.

Diagram 2
a pattern might be discovered which would assist in problem solving.

What may be needed to effect changes or seize opportunities included:

1. an awareness of the Library's goals and the University's goals and an understanding as to how critical the problems/opportunities in question are to those goals,

2. the ability to focus time and talents of the organization on the areas "...currently important to the organization's evolution...", 1

3. the ability to shift that focus as one problem/opportunity is resolved/seized and another or others become more critical.

A continuing difficulty involved identifying when one problem/opportunity was sufficiently resolved/set to move on to the next without disruption and in so doing to make clear to those expected to implement actions how their activities were related to the organization's goal. Especially where staff members were largely untrained and where turnover was high, reinforcement of direction was particularly important in maintaining a steady evolutionary process.

A second difficulty lay in the rather traditional stereotype of librarians' attention to detail for detail's sake and obsessive concentration on adherence to rules for rules' sake. Consistency of principle seemed to be more critical to the organization's growth and stability than consistency of detail, although the latter was often the easier to effect.

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Chapter 4

ENVIRONMENT: INTERNAL ELEMENTS

The structure and internal relationships of the Library are far from set. Given the transitional state of the University, the period from September 1980 to March 1982 was one of trial and error in determining which organizational form was best suited to providing service.

A rather traditional functional library organization was initially adopted including administration, technical services, and public services. In a small library such as that of IU--A, there was a great deal of overlap in functional areas largely due to lack of personnel. The functions were roughly broken down as shown below.

ADMINISTRATION

Broadly defined, administration included: 1) planning, including collection and services development; 2) budgeting; 3) personnel, 4) evaluation of services, resources, and personnel.

This type of organization is normally associated with the concept of a library as a repository of single or few copies of items used as supplements to courses of study, or for individual research or pleasure; and as a base for the provision of information at users' requests.

A major problem in the organization of IU--A Library was the Library's additional responsibility of aiding in the selection of, in securing, processing, maintaining, and loaning multiple copies of items as texts for each of the undergraduate and graduate courses taught. While many of the mechanics of acquisition, etc., for texts are

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1 The author personally knows of no other university library with this dual responsibility.
similar to those for library materials, the objective of a text
collection is quite different from that of a library collection so
that decision-making with respect to the two differs considerably.
This difference made the operation of a single unit with responsibility
for both somewhat difficult. On the other hand, the benefit of
parallel collection development and integration had a noticeable
positive effect in the area of public services where staff knowledge
of both collections and their relationship has been the norm.

Pressures felt for immediate and visible improvement of
Library services beginning in September 1980 forced energies into
resolving immediate or short term problems such as photocopying
texts\textsuperscript{2} for immediate use rather than on setting objectives.

Such time as was made available for planning was less
effective than hoped because no formal plans for University growth
were available as a frame of reference.

Further, means to evaluate the progress of the Library
towards professionally established norms was difficult in that the
Library's size and location did not permit it to fall easily into
evaluation categories.\textsuperscript{3}

Staff limitations in terms of size and training forced the
one professional staff member to make decisions at every level of
operation, both reducing the amount of time available for the
broader management functions and imposing a single leadership style
and professional orientation on the Library which obviously affected
its relations with other elements.

Among decisions requiring excessive amounts of administrative
time were:

1. development of staff schedules since the bulk of staff
were students whose time tables changed at least every ten weeks,
2. maintenance of trained staff due to high turnover,
3. staff training in a situation where procedures were
rapidly developing and changing.

\textsuperscript{2} Such photocopying is one example of professional library values
taking second place to management concerns. That the students be supplied
with copied material until ordered material arrived was determined to be
more valuable to the University's growth than strict adherence to copy-
right—especially under the constraints of supply existing.

\textsuperscript{3} An attempt to gauge the perceived improvement in IU—A Library
service was made in Winter Quarter 1982. A survey of users was distributed,
the results of which may be seen in the Appendix, Item A.
4. Budget allocation among academic departments and the balancing of the collection in the absence of any set norm or accurate collection analysis.

TECHNICAL SERVICES

Although at IU--A the technical services functions included the acquisition and processing of texts as well as library materials, this function was shared by Library administration and will be discussed fully in Chapter 7.

Limiting the discussion below to library materials as distinguished from texts, technical services involved selection, acquisition, cataloging and classification, processing, and file maintenance for library materials in a variety of forms.

Major decision dilemmas involved:

1. How to establish direct, dependable supply links,
2. how to maintain steady input from lecturers in the area of materials' selection,
3. how to standardize and professionalize materials' processing when supplies, staff, and equipment were a problem;
4. how to implement projects given that the University ran courses virtually year-round.

Unless a supplier deals in large volume, the supply of single titles or limited copies of a title to libraries is very rarely too profitable. For the IU--A Library, this posed a special problem. As of early 1982, there remained only one local bookshop which would fill orders for single copies of titles on any sort of regular basis. Most other shops had been forced by economics to limit orders to multiple copies. Normally the option of establishing credit with an overseas jobber would have been obvious. However, as evidenced by the letter from the jobber Bailey and Swinfen (see Appendix, Item B), suppliers have had their share of troubles with libraries in developing areas and are somewhat reluctant to become too heavily involved with small, locally financed institutions. This is not to say they wouldn't deal with such institutions, but great caution has been exercised.

With the bulk of IU--A faculty on a part-time basis, it was difficult to meet with them on any kind of regular basis to discuss collection development in their fields of expertise or to project curriculum needs over the long term.
No matter how good a collection of library materials may be, its usefulness depends upon accessibility. Access in library terms includes appropriate display, adequate hours of service, sufficient staff to assist patrons, and, most critically, an appropriate system of organization and retrieval.

Of the four or so systems for library materials' organization recognized and in widespread use today, the Library of Congress Classification System (various editions) is widely used by libraries serving colleges and universities. Its logic, notation, and capacity for manageable expansion in specific subject areas make it highly suitable for large, in-depth collections—or those aspiring to such size and depth.

The four Kenyan libraries of greatest influence on the IU—A Library plus the Library of the San Diego campus all have adopted the Library of Congress scheme.

As of September 1980, the IU—A Library was organized on the basis of the well-known though less flexible Dewey Decimal Classification Scheme. The ease of exchange of information among libraries was reduced because of this and the ability of the Library to reflect curriculum topics by grouping in the collection impaired.

Further, the mechanics of the actual class assignments, inventory records, and materials' formatting had been imprecisely done, resulting in duplication of class numbers for different titles, various class numbers assigned to the same title, an inaccurate inventory record (shelf list), and a host of related problems.

The result in terms of service to library users was the inability to recall a title needed or even to definitively determine whether the title—and if so how many copies—was actually still within the collection.

In addition, there was no systematic account of items on order, resulting in a high rate of duplication of orders.

The method for recording one particular collection of items, i.e., the reserve collection, did not fall into any established pattern but was done ad hoc. The result of this was the situation in which core materials in support of courses were virtually unrecorded and uncontrolled.

The significant problems facing anyone attempting change in the areas mentioned above included: 1) lack of trained catalogers and classifiers, 2) dearth of support staff, 3) lack of catalog card
reproduction equipment, 4) inferior quality and irregular supplies of materials for processing, especially card stock and suitable physical files. Of special significance was the fact that the Library was open and in support of coursework, lecturers, and users virtually all year long. Virtual continuous public service demands made any type of project undertaking difficult.

PUBLIC SERVICE

Given the indeterminate expectations of Library users and little firm evidence as to previous patterns of usage, the determination of the level and type of service to offer was difficult.

Once the parameters of service—for the short term at least—were set, the difficulties became:

1. how to provide the expected services with minimally trained and frequently changing staff,
2. handling the frustration arising from the changeover to a new classification system which necessitated searching two sequences for every search required,
3. providing information which was practically speaking locked in the backlog of materials awaiting processing,
4. how to defuse the tense situation existing between Library users who were totally dissatisfied with services and Library and University administrative staff who were equally dissatisfied but struggling for solutions,
5. the establishment of a borrowing system capable of determining the accountability of individuals rather than being organized by date, items only, or type (reserve, text, etc.).

4 The author contends that control over materials in a small library may be greatly increased informally by the impression created through accurate record-keeping. Users who are aware that accountability is maintained are much more apt to work within the system established—so long as the system is equitably applied.
Chapter 5

ENVIRONMENT: BOUNDARY ELEMENTS

INTERNATIONAL UNIVERSITY—AFRICA

Fundamentally, the relations between elements within IU—A and the Library during the period covered were positive. The major frustrations involved:

1. identifying University objectives toward which to gear Library objectives,

2. establishing clearly defined relationships and areas of responsibility between University decision centers, including the parent campus and the IU—A graduate department;

3. establishing program and/or course accountability so that the Library was not constantly reacting to last-minute changes,

4. implementing a program of information/training/feedback for all Library users,

5. maintaining control of library and text materials without repression,

6. identifying and becoming/remaining responsive to University needs.

Included for discussion are the following subunits of the University: 1) Administration, including the Business Office, Admissions/Registrar’s Office, positions of Director, Assistant Director, Graduate Advisor, Graduate Coordinator; 2) Faculty, 3) Staff, 4) Students.

Administration

Business Office. Formal relations between the Library and Business Officer were focused on suppliers' accounts, including the securing of foreign exchange; personnel payment schedules, work study student financial eligibility and scheduling, budget and report preparation.
Relations with the Assistant Business Officer centered on securing general supplies; the release of goods from the Post Office, airport, and Customs; the pick up and delivery of goods including interlibrary loan items; printing arrangements; petty cash purchases; and similar routine matters.

The Librarian was highly dependent on the cooperation of the individuals in both these positions in explaining and interpreting government, banking, and University regulations while at the same time placed in the position of recommending changes in procedures which were heavily impacting Library decisions. As an expatriate woman, the Librarian felt that no formal request to alter or change practices should be made until: 1) a personal working relationship had been established between the Librarian and Business Officers, and 2) the cultural constraints surrounding superior/subordinate and man/woman working relationships were better understood. That is, the role of each in the informal working community was also a significant discovery to be made before a plan of change might be developed.

Among the factors impinging on smooth relationships was the initial reluctance of either Business Officer to make alternative suggestions—based on extensive experience with local conditions—to recommendations made by the Librarian whose professional qualifications and guest status were too often given excessive weight.

Admissions/Registrar's Office. The Admissions/Registrar's Office was essential to the Library operation in the areas of verification of academic eligibility for work study students; the coordination of student clearances for registration, graduation, or withdrawal from the University; and for supplying vital student and class assignment information for library records. For example, the timely and accurate submission of course rosters to the Library increased the ability of the Library to maintain control over the issuance of texts by verifying the eligibility of the students to borrow materials for a specific course and by providing a standard tag (name) by which Library records could be made compatible with other University records.

1 For a discussion of transition societies and their administrative subsystems, see "An Ecological Approach: The 'Sala Model'" in Ferrel Heady and Sybil L. Stokes, eds., Papers in Comparative Public Administration (University of Michigan, 1962), pp. 19-36.

2 Undergraduate and graduate operations were physically and
In addition, the Admissions/Registrar's Officer received and maintained records on course content changes, the introduction of new courses and/or course requirements originating from the parent campus, and action notices affecting students. Since the Library was responsible for providing materials in support of all courses, regular communication of such information was important.

The more regular the exchange of information between the two officers the more each understood the workings and goals of the other and the more each could evaluate information received in terms of usefulness to the other.

The practice of routing all data received by each to the other was not attempted. Rather, each officer consciously tried to learn enough of the workings of the other to act as a filter/referral. In this regard, the success of the referral mechanism depended largely on: 1) the formal statement of goals, policies, and procedures produced by each office; and 2) the effectiveness of the network of interpersonal working relationships which strengthened the official relations.

Since September 1980 the interpersonal relations developed rapidly but the formal understanding of office policies and procedures more slowly due largely to the numerous procedural changes introduced in both Admissions and the Library which increased the time required for understanding each operation.

Such strains as did exist between the two subsystems most frequently occurred during the registration period and the final student clearance procedures when the Library was highly dependent upon the support of the Admissions/Registrar officers in following grade release controls and in seeing that work study applications, authorizations, and Library clearance forms were maintained in student files.

One significant area of coordination which had not yet been clearly developed was that of the determination of class size and the scheduling of classes with respect to the text resources functionally separate. The graduate function will be discussed in a subsequent section.
available at any given time.

Enormous difficulties and user frustration occurred when
1) classes which required access to the same resources were
scheduled concurrently, and/or 2) class size significantly exceeded
the texts on hand and no local source of supply was immediately
available.

One major constraint to such coordination was the lack of a
master yearly schedule which might have been used to schedule
classes and materials orders on a rational basis.

Assistant Director. The relation of the Library to the
position of Assistant Director was largely defined by the person
of the Assistant Director whose interests, experience, and energies
actually created the responsibilities of the position.

A relatively new position (circa 1980), the Assistant
Director's position grew out of the desire of the Director to
focus on certain aspects of administration, minimizing effort on
others. Fortunately, the focus on attaining a strong financial
base was critically needed at the time. Fortuitously, the visiting
lecturer from the San Diego campus who stayed to become Assistant
Director had complementary interests in the areas of academic and
personal counseling, program and curriculum development, and faculty
selection.

Involvement in these areas was not planned but arose out of
the individual's concern that student needs were not being
adequately met. 3

Essentially, then, the position of Assistant arose out of
the special interests of the Director and the appearance of a person
with complementary skills who was willing to assume added
responsibilities.

For the Library, the fluidity and person-dependent nature
of the Assistant Director's position posed initial difficulties in
establishing a clear relationship with the office.

3 The involvement was almost totally on behalf of under-
graduate programs and students. Graduate support will be discussed
in a subsequent section.
Fortunately for the Library, the Assistant Director (then Acting Director) was sympathetic to library matters and provided support during the critical relocation to new quarters which occurred in August 1980 in the absence of the then Library Supervisor (on leave) and prior to the hiring of the Librarian who assumed the position in September of that year. Specifically, support included soliciting requests from the Library staff for needed supplies and equipment and the authorization of a major expenditure for texts and library materials.

The Library's direct relation to the Assistant Director as Assistant Director/Lecturer revolved more on the lecturer aspect of the role in which cooperation in materials' selection, course text assignment, and understanding and encouraging adherence to Library policies were prime.

Indirectly, the Assistant Director had great influence in determining the attitude and general responsiveness to the Library especially of new faculty members whom the Assistant Director usually screened and interviewed. It became obvious very shortly that each individual was encouraged to contact the Librarian as soon as possible and was given an initial awareness of the importance of early and continuing Library contacts in helping to determine teaching satisfaction.

As advisor to the Director, the Assistant Director also was instrumental in upgrading the position of Librarian to make it more financially competitive with comparable local positions and more comparable to similar positions in the United States.

The Librarian reported to the Director on budget, personnel, and Library policy, and was consulted on matters pertaining to curriculum development, work study assignments, public relations, as well as internal organizational structure and procedures.

In fact, the Librarian was a junior member of what might be called an executive committee although no such formal organizational entity existed.

The inclusion of the Librarian in an increasing number of policy matters arose in great measure due to the physical proximity of the Library to the administrative offices, the interest by the Librarian in all University activities, and the willingness of the Director and Assistant Director to entertain ideas from any interested staff member.
The relationship between the position of Director and that of the position of Librarian depended almost completely on the individuals in the positions since no formal Librarian's position existed prior to September 1980. The scope of activities and the latitude allowed the Librarian emerged from the styles of the individuals.

A great deal of latitude was allowed; in fact, the absence of specific direction created some confusion and uncertainty and initially was construed by the Librarian as lack of interest in Library affairs on the part of the Director.

Once, however, the Director's operating style and personal and professional background were better understood, it was apparent that the Director had more modest—and possibly more realistic—expectations for Library development than those of the Librarian. Convinced that progress was being made, the Director did not interfere but continued to offer support as requested.

The flexible and supportive mode of operation had its advantages but because few demands—for information, program or purchase justifications, etc.—were made, the potential for uncontrolled activities on the part of the Librarian was increased. Virtually all reporting mechanisms between the two offices, including the first annual Library report, were at the initiative of the Librarian.

Graduate Advisor. The relationship of the Library and the Librarian with respect to the graduate division at the operational level was a difficult one largely because the position of Graduate Division (Department) Head was not a formal one.

The graduate program leading to two degrees, the Master of Science in Management and Organizational Development and the Master of Business Administration was officially administered by the Director of IU—A and assisted by the Graduate Coordinator, a non-professional position. In fact, however, much of the direction of the program came through an individual who was the de facto head of the program and whose interest in it and the University was keen. This individual was highly instrumental in the shaping, content, and scheduling of coursework; in the securing of lecturers; in teaching; and in the publicizing of the program to local and international organizations and the community in general.
The de facto head of the program was very helpful in many ways and responded to most requests for information and assistance from the Librarian. However, because the position held was one of a number of other obligations of the individual and due to physical communications limitations in Nairobi in general, the individual was not available on a regular basis for the type of casual discussions and information sessions which are so useful or for timely consultation on many policy matters.

Further, the individual's interests lay outside the operational level which was the initial cause of greatest difficulty for the Library and so was not as influential as had been hoped in this area.

**Graduate Coordinator.** Formally, the Librarian and Graduate Coordinator interacted on matters dealing with clearing students for Library privileges and graduation; in the determination of class size and course scheduling insofar as the supply of text and supplementary materials were involved; the determination of book fees required of graduate students; exceptional services required for special status students, students with academic difficulties, etc.; and registration for Library control purposes.

Informally the two individuals conferred on matters ranging from students' comments on Library services to individual difficulties in working within the University structure and/or with individual staff members.

Access by the Librarian to the individual occupying the position was difficult due to the irregular hours of duty kept by both individuals. Although each was scheduled to meet the needs of a target group,\(^4\) for the first year or so the times had little overlap. Thus, a clear understanding of the potential for coordination and cooperation was not achieved as early as might have been desirable.

**Faculty.** The Librarian depended on the assistance of faculty members in 1) the selection of course texts and course-related

\(^4\)Additionally, both individuals were allowed flexible scheduling each quarter in order to pursue coursework—a benefit of all full-time University employees.
library items, 2) developing a library orientation among students, and 3) the support of Library policies and procedures.

The Library/Librarian provided materials selection guidance by means of publishers' catalogs and information sheets, price and availability information. Files of syllabi were maintained to assist in course development, and Library orientations and lectures were provided at the request of faculty in addition to the provision of a variety of forms of materials and types of services to supplement courses taught.

One of the most difficult aspects of service to and assistance from IU--A faculty involved the part-time status of the majority of staff members. Part-time status of itself was not the issue so much as the fact that 1) the ability to develop an understanding of curriculum requirements was constrained by high staff turnover in any one subject area and/or the irregular availability of faculty for consultation, and 2) curriculum development in any specific subject area was often unclear because there was no individual responsible for the coordination of most areas.

One example of the difficulty involved trying to respond to frequently changing text recommendations for a given course which might be taught in three successive terms by three different lecturers each of whom was partial to a certain, different, text. Where the acquisition of materials is fraught with uncertainty and delays as in the situation at IU--A and Kenya in general, the ability to adapt as quickly as expected was limited.

The retrieval of course texts from students at the end of term depended almost entirely on the cooperation of faculty who were requested to make the acceptance of final projects or the sitting of final exams dependent on the submission to the lecturer of a Library Exam Clearance form which indicated that all texts for the course concerned had been returned. Undergraduate lecturers in general enthusiastically supported this procedure and the timely recovery of texts from undergraduates increased dramatically.

5 Beginning in September 1982, the undergraduate curriculum will include library skills as part of the English curriculum.
The bulk of graduate lecturers tolerated the request to assist but had not actively encouraged students to follow the procedure and allowed students to sit exams, etc., regardless. The rate of timely return of texts by graduate students was very low and major problems occurred at the beginning of each quarter due to texts outstanding.

Where time permitted faculty and Library staff to establish close working relationships, faculty cooperation was satisfactory, but due to constraint number 2 above, even those willing to assist in Library collection development had difficulty in projecting future needs.

Staff. An important relationship existed between Library staff and that of reproduction/duplication staff who provided direct service to the Library and the University. Most major jobs for faculty were routed through the Library and a trained Library staff member substituted for duplication service staff during vacations and/or assisted them during peak work periods. In addition, Library student assistants aided in collating and distributing material after processing.

By far the major use of the service was in the area of curriculum support, followed by that for the Admissions/Registrar's Office, the Business Office, and then, Administration.

While there was no formal relationship specified between Library and other support staff which related to the Library's objective, these staff were of value to the Library in potential or actual informal personal relationships. In turn, all staff were eligible for Library privileges which, however, differed in degree from those of faculty or students.

Students. As of September 1980 there appeared to be an adversary relationship between Library and students. Students—both graduate and undergraduate—had a cavalier attitude toward the Library in general and its policies and procedures in particular. Students had no confidence in the ability of the Library to either produce materials, especially texts, or to control them, and widespread hoarding of materials had occurred.

While there was no way to determine the exact extent of loss, student comments to the effect that "x has more Library books
in his home than are on the library shelves" gives some idea of the probable magnitude of the loss.

The focus of student frustration was on the dearth of texts in support of scheduled classes. Students most often had to share texts with one or more students when, indeed, there were texts at all.

This created a severe hardship especially in the case of working students whose study time was already strictly limited. Adding to the frustration was the fact that tuition and book fees paid seemed certainly sufficient to cover the acquisition of materials and the situation was close to volatile.

It appeared as well that the supply problem generated a reaction on the part of the Library which actually exacerbated the situation and set the adversary relationship even firmer. That is, the fewer materials available, the more tenaciously students sought to get and hold them irrespective of Library policies. The more flagrantly Library policies were ignored or contravened, the more reactionary Library staff became and the more strictly rules, etc., were enforced. The more strictly rules were enforced, the more creative students became in circumventing them, and so on.

Compounding the problem was the fact that there was no formally trained, permanent Library staff to whom students might voice their complaints or from whom they might seek assistance. There was, then, no channel of responsibility open to them through or by which they might expect satisfaction. Their sense of helplessness was intense.

The challenge at this point was how to break the pattern and introduce confidence in the Library on the part of students at both the graduate and undergraduate level.

**SUPPLIERS, LOCAL**

As of September 1980 the bulk of materials supplied to the Library were print materials acquired through local booksellers or used books sent from the San Diego campus.

Few curriculum-related materials were stocked locally on a regular basis except at the University of Nairobi Bookshop which
obviously was not meant to serve as a supply agent for a second university. Of the booksellers in Nairobi, approximately ten were able and willing to place special orders. They preferred orders for multiple copies of titles but would also accept orders for single copies. Of these items, two could be said to have an emphasis on business materials, one on general and text books (primarily secondary level texts), and one on popular and general academic items. Two of these four appeared to have extremely sound financial and management bases which allowed them a flexibility of service not possible by others.

On an informal basis the staff of three of the booksellers had been extraordinarily helpful in not only the supply of library materials but also in the supply of advice on the regulations governing the importation of materials, the approach to relations with individual publishers, and the provision of extraordinary services including telexing publishers on behalf of the University with respect to orders initiated by the University rather than by the bookseller.

Basically, however, IU--A was in a dependent position with respect to local suppliers. The challenge was 1) to shift the balance and create more dependence on IU--A by suppliers so that the response to IU--A needs became important to the suppliers, and, 2) to develop the means to:

a. establish working relationships with as many suppliers as possible so that emergency orders might be filled as quickly as possible, i.e., through a phone order followed by delivery of a local purchase order rather than presentation of cash in advance or other more time-consuming procedures;

b. recover—in times of general supply problems—from the failure of certain suppliers to fill orders,

c. better determine the reliability of specific suppliers.

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6 For a time, the University of Nairobi Bookshop was under the management of a local entrepreneur who also ran a private bookshop in town. IU--A was apparently able to buy heavily from the bookshop during this time. When the bookshop came under new management (a University of Nairobi employee), accessibility to stocks was allowed but only when sales would not impair the capacity of the bookshop to serve its first clients, i.e., University of Nairobi students.
d. reduce time spent on identifying locally available goods since telephone and written requests were often imprecisely handled,
e. encourage suppliers to anticipate University needs and channel advance information to the University and/or the Library.

SUPPLIERS, FOREIGN

Assuming the identification of suppliers stocking materials of particular value to the University and those having had successful experience in exportation, the critical problem for IU—A Library became the establishment of credibility with the supplier.

The attempt to establish direct accounts with overseas suppliers, specifically publishers, was one of the single most frustrating aspects of IU—A Library development beginning with September 1980. The relationships which usually exist between supplier and purchaser in the book trade suffered interruption due to world-wide economic confusion resulting in lower book production, local(Kenyan) balance of trade deficits, and strikes (especially European) in the transportation and book supply sectors.

In addition, the Librarian unfortunately and unwittingly initiated direct contacts with publishers at a time when the Kenyan import regulations were in a state of complete flux with the result that almost a year later orders were still unsettled.

The changing nature of book supply throughout the world made the task of understanding the orientation and capabilities of various suppliers difficult, especially given the time lag involved in long distance correspondence.

Jobbers contacted directly showed reluctance to supply for reasons of confidence and past experience or, as usual, required advance payment on initial orders. The time required to process advance payments in an economy beset with balance of trade problems added to the already heavy workload of the meager Library staff.

\footnote{Refer again to Appendix, Item B, the letter from the jobber Bailey and Swinfen.}
OTHER LIBRARIES, KENYA

IU—A Library benefitted greatly from the assistance of librarians from other institutions in Nairobi, including the University of Nairobi, Kenya Technical Teachers College, Kenyatta University College, Kenya Science Teachers College, the Kenya Polytechnic, and the Library of Congress Regional Office, Nairobi.

The opportunity to generate mutually beneficial relations was constrained by the weakness of the IU—A Library collection and services and by the limited time available to the Librarian to foster closer relations.

Assistance from other libraries was in the form of professional consultation, advice, and information; the loan of professional tools such as classification schedules, the use of facilities and equipment, and interlibrary loan privileges.

IU—A Library provided other libraries in turn with the loan or donation of professional materials and with the opportunity of interlibrary loan privileges which were, in fact, little used.

The IU—A Librarian acted as an external examiner for the Kenya Polytechnic Library Assistants course which was a valuable opportunity to understand the only library training currently offered on a regular basis within Kenya. Through this experience the Librarian was better able to establish realistic expectations of the core of library assistants from which potential staff members might come.

KENYA LIBRARY ASSOCIATION

As the sole professional library association in Kenya, Kenya Library Association was the only formal means of remaining in the local professional mainstream, so membership in the organization was begun. Up to September 1980, however, there had been no formal relationship between IU—A Library and the association no doubt because those responsible for the Library were not trained librarians and so would have had no reason to be aware of membership value.

8 A number of materials were donated to the Kenya Polytechnic for the Library Assistants course run annually by the Polytechnic. The program is a nine-month course awarding a certificate to all successful participants.
In fact, although IU—A Library became an institutional member in 1981, the actual value to IU—A has been minimal. This may change, however, since the organization was restructured beginning in 1982 with the intention of providing more mechanisms for accountability and of providing more opportunity for feedback from members.

Chapter 4

EMPLOYMENT PATTERNS

Chapter 5

CORRESPONDENCE COURSES

The correspondence relation to IU—A Library—never basically been associated at all. The greatest impact on IU—A Library came from the parent campus in San Diego, but not from the library in that sense. The IU—A Library has the opportunity to create an appreciation of the benefits of closer association among all campuses, especially with respect to information sharing among campus libraries.

IU—A Library contributed general and specific information from the San Diego Library and to a lesser extent from those in Mexico City and London in areas of computing and technical services and of instituting some sort of uniformity in approach to Library services including personnel and staffing patterns, hours of service, circulation systems and control, etc. To date, the Mexico City and San Diego systems have been compared.

The Library was also affected by actions of curricular development personnel who all or before 1980. Such action occurs at the San Diego campus and affects all campuses. At IU—A, conditions of their own and supervisory personnel and all data received associated with those materials were affected by curricular changes.

The majority of these library initiated improvements with associated campuses, especially the library administrative offices.

1 Except for the technical receipt of materials from the San Diego campus, all other improvements occurred up until September 1980.

2 Analysis of the data indicates a trend...
Chapter 6

ENVIRONMENT: EXTERNAL ELEMENTS

OTHER ASSOCIATED CAMPUSES

The campuses—in relation to IU—A Library—have hardly been associated at all. The greatest impact on IU—A Library came from the parent campus in San Diego, but not from its library as might be expected. ¹ The IU—A Library had the opportunity to create an appreciation of the benefits of closer association among all campuses, especially with respect to information sharing among campus libraries.

IU—A Library requested general and specific information from the San Diego Library and to a lesser extent from those in Mexico City and London in hopes of comparing and contrasting services and of instituting some sort of uniformity in approach to library service including personnel and staffing patterns, terms of service, circulation systems and control, etc. To date, the Mexico City and San Diego campuses have responded. ²

The library was also affected by actions of curriculum development personnel who add or delete courses. Such action occurs at the San Diego campus and affects all campuses. At IU—A, acquisition of text and supplementary materials and all data records associated with course materials were affected by curriculum changes.

The majority of IU—A Library-initiated interactions with associated campuses, especially San Diego administrative offices

¹ Except for the occasional receipt of books from the San Diego campus, all other interactions mentioned are post—September 1980.

² Analysis of the data submitted is underway.
occurred at the operational level and included primarily requests for information regarding course syllabi, text assignment recommendations and the like.

A specific difficulty was the unmet need to have the regular exchange of syllabi from the associated campuses, especially from San Diego.

The areas of greatest potential impact lay in 1) the assistance of the San Diego authorities in creating access to dollars on behalf of IU--A and 2) the coordination of collection development with respect to the libraries of all campuses.

ACCREDITATION BODY, ASSOCIATED CAMPUSES

In as much as the Library was the University's depository of curriculum-related information, the Library was expected to maintain all syllabi, sample tests, and other records required for review by the accreditation team which is expected to reevaluate the campus in 1984.

More crucially, the Library was a central element in the accreditation of the University and had to meet standards set by the Western Association of Schools and Colleges (Accrediting Commission for Senior Colleges and Universities) under whose jurisdiction the four associated campuses of United States International University fall.²

The Library took the opportunity to systematically collect and maintain records in support of continued accreditation and to develop a collection and services sufficient to maintain or improve the University's accreditation ranking.

FINANCIAL INSTITUTIONS

The Library, through the University, developed links with individuals in the University's account holding bank, i.e., Commercial Bank of Africa Limited, Main Branch. These individuals acted as a buffer between the Central Bank of Kenya and the

² Samples of professional standards for the evaluation of college and university libraries may be found in the Appendix, Item C.
University, providing guidance in the approach toward the securing of foreign exchange and the approach toward relations with Central Bank in general.

Most dealings with Central Bank of Kenya were through Commercial Bank of Africa. The Library's direct dealings with Central Bank were almost totally related to requests from the Exchange Control section for the production of documents proving the receipt of goods purchased with foreign exchange, their proper passage through customs formalities, and other procedural matters.

The early identification of the relation of the Library to these institutions was not made. Operational delays resulted as well as possible opportunities were lost insofar as import exemptions were not fully understood and taken advantage of at a time when foreign exchange was less of a problem.

KENYA GOVERNMENT MINISTRIES AND CORPORATION

Ministry of Higher Education 3

While not directly involved with the Ministry, the Library was affected to the extent that the University was affected. The interactions between the two were apparently not regular as evidenced by a recent (February 1982) request by an official of the Ministry for details on the program(s) of the University, its entrance requirements, staff, term dates, etc., and the fact that there had been no formal statement of recognition of the degrees awarded by IU--A from the Ministry as late as January 1982. 4

The status of the Library and its relations with other libraries and institutions was obviously affected by the status of the University in the eyes of the Ministry responsible for the development and evaluation of educational institutions and practices in Kenya.

3 Until November 1979 there was a single Ministry of Education responsible for all levels of education in the country.

4 In fact, a number of government corporations are sponsoring students at IU--A which belies the lack of formal recognition, but others have refused sponsorship stating that the degrees are not locally recognized.
Since the University had not yet identified a Kenyan national for the position of Librarian (or Head, Library Services, or Chief Librarian), a work permit has been required for the individual in the position. Denial of such a permit would have serious impact on Library operations.

To date, the securing of such a permit has been smooth in large measure because there is no Kenyan program of higher education in the field of library science which would provide a pool of local talent from which to draw. Most fully qualified professionals are securely established with the University of Nairobi or other government institutions which offer benefits not available from International University—Africa.

Ministry of Commerce and Industry/Trade & Supplies Division

Except for a short period in 1981, trade policy in Kenya exempted certain categories of materials, including educational materials ordered directly by educational institutions, from import licensing if the value of the goods imported was less than a specified amount. Unfortunately, the Library by chance initiated a number of direct orders during the period in which the general policy was suspended and all items regardless of type or value were required to come in under import licenses. Consequently, the Library became involved with this Ministry for the items on the orders in question.

The actual applications for import licenses were approved more quickly than local booksellers had led the Librarian to believe was possible, but still the process took six weeks.

Outside of any follow-up on the orders in question, no further direct interaction with the Ministry was expected since orders should be able to kept within the value for which no license is required.

5 For the most current regulations affecting importation of educational materials available at the time of writing, see Appendix, Item D, "Central Bank of Kenya Exchange Control Administrative Notices and Instructions, Exchange Control Notice No. 10" of 10th November 1981. (Photo copy compliments of Commercial Bank of Africa. See also, Item E, letter from Commercial Bank of Africa, Exchange Control Section, elaborating on Item D.
Ministry of Labor

Obviously the Library, through the University, has made every effort to follow labor practices and adhere to all labor laws. It was particularly important that any non-Kenyan be aware of the formal and customary labor practices in Kenya since they differ in significant particulars from, say, those in North America. 6

Kenya Posts and Telecommunications

What might normally be considered a routine relationship was in fact of some significance in the operations of the Library due to a couple of errors on the part of Kenya Posts and Telecommunications Corporation by which books that should have passed through the City Centre Post Office Customs section were inadvertently routed through the General Post Office which does not have a customs clearance section. Consequently, the Library had great difficulty in securing foreign exchange for payment of the orders because securing of foreign exchange requires that proof of customs clearance accompanies the request.

The importance of understanding even the most fundamental of services was clearly emphasized by this experience.

6 A great deal of frustration can be avoided, the author believes, by those whose work experience is primarily North American, for example, by simply recognizing that funeral attendance for any relative is required by custom and that prior notice is not expected from an employee who plans to attend a funeral. An employee will often simply announce that he/she is going to the funeral and will be back whenever possible.
Chapter 7

RECOMMENDATIONS

The presentation of recommendations roughly follows the outline of environmental elements, with comments on related topics consolidated into broad categories.

Alternative approaches were considered including that of recommendations categorized as strategic, tactical, or operational. In fact, further development of the recommendations into a master plan of change would require such an approach with a time frame superimposed upon it.

It was felt, however, that such a master plan was beyond the scope of this study and that consistency of approach was required.

Like a book on the psychology of education, which may physically be put in only one shelf location, the placement of recommendations under a particular category was in some cases arbitrary.

It would be possible for a regrouping of recommendations according to categories such as personnel, supplier, collection development, target group clientele, etc.

Finally, the appropriateness of recommendations remains contingent upon the constancy of environmental conditions so that, even as this is written, some may no longer be valid.

ENVIRONMENT: INTERNAL ELEMENTS

Administration

Divestiture of the bookshop function is proposed through
1) setting up of a profit-making company or a subsidized University bookstore or, 2) the establishment of an agreement with a local bookshop to take on the function on behalf of the University.
Under present economic conditions both in Kenya and the booktrade in general, either proposal seems unlikely in the near future (2 to 3 years). The risk involved in setting up such a venture now seems prohibitive for the University especially since investment in property for the expansion of facilities is already being seriously pursued. A major local bookseller who was approached about the possibility of acting as supplier for University texts admitted to reluctance primarily due to the uncertainty of securing import licenses and foreign exchange and the long order-to-delivery times involved which would prevent guaranteed timely deliveries.

Until such time as the bookstore function can be made a separate one, the following interim actions may help:

1. Using the newly developed undergraduate master yearly schedule, identify courses for which materials are lacking and those frequently offered in which the rate of attrition is high.
2. Based on course needs, create an ordering timetable procedure whereby lead time for receipt of goods is allowed. (Frequent discussions with local booksellers on the state of affairs is recommended.)
3. Build into the system an automatic review of course needs on a periodic basis.
4. Establish more timely communications with local and foreign suppliers so that current information on available materials is steadily supplied. Specifically, major suppliers for business materials locally include Textbook Centre, Prestige Bookshop, Vipopreno Booksellers, the University of Nairobi Bookshop, and occasionally, Mt. Kenya Bookshop. Publishers of special value to date include George D. Irwin, Southwestern, Prentice Hall, McGraw Hill, John Wiley, Houghton Mifflin, Holt Rinehart, and others.

For materials outside of business, add to the list of local suppliers S.J. Moore Bookshop, Select Bookshop, and Westlands Sundries. Be aware that dozens of other shops may, at any given time, carry items useful to the University and that a lot of legwork, telephone contacts, and the use of student scouts may uncover extremely valuable goods.

5. Recruit, hire, and train personnel whose primary responsibilities are in the area of text selection and acquisition.

6. Induce IU--A administration to require lecturer involvement in text selection through established/periodic selection sessions by subject area.

7. Provide lecturers with selection tools, encourage book displays by local booksellers, publishers representatives, the British Council, etc., as a means of bringing new materials to the University for preview.

8. Establish ties with individual lecturers and encourage them to purchase materials in their areas of expertise for the Library and then be reimbursed. Establish parameters (value, no. of copies, etc.) but take advantage of anyone willing to assist, especially those who travel and may be able to bring in goods from abroad.

With respect to long-term planning, Library administration must be freed from decision-making at every level by the addition of trained, full-time staff at the professional, paraprofessional, and clerical levels.

In order to provide basic professional library services particularly in light of the demands of the text supply function, at least one additional professional, one full-time paraprofessional, and one full-time clerical staff member should be added as soon as possible.

The professional's skills and interests should complement those of the Chief Librarian and should definitely include supervisory experience since it is anticipated that the supervision and training of student library assistants would be one of his or her responsibilities.

At least one of the professionals should be a local person who would provide continuity of management.

At least one of the professionals, and preferably the Chief Librarian, should have received at least part of his or her
education either in the United States or from a North American-styled institution because of the involvement of the Librarian in curriculum-related matters.

The need for a paraprofessional and a clerical person (or two paraprofessionals or two clerical persons) is based on the need to free the Library from heavy dependence on student assistants whose hiring, scheduling, and training require an inordinate amount of time. For example, each student's schedule changes at least every ten weeks and sometimes more often if he or she takes an intersession course. Also, a student, once hired, is not guaranteed a steady position since he or she must maintain certain academic levels, and fulfill other criteria. Each student's eligibility must be reviewed each quarter. In many cases a student will be forced to discontinue after one quarter and another person screened, hired, scheduled, and trained. This uncertainty is very difficult to build a program of service upon.

The use of students in certain areas of library service is a long-tested and valuable means of extending library services and also of assisting deserving students finance their education. However, reliance on students for professional services is poor professional practice.

In addition, in the situation as it is at IU--A, students are put in awkward positions with respect to authority over fellow students. Because of this situation, far more referrals to the Librarian to settle questions of policy are made than would be the case if full-time Library staff manned the public desk. More time is taken from the administrative duties than is really necessary.

Further, if the campus relocates as is likely and the size of the Library increases, the mere physical demands on the staff will likely require additional personnel.

A final though difficult suggestion to implement given time constraints is that of formally defining policy and procedures with respect to Library operations. To date, the situation has been one of such rapid change that most policies and procedures have been modified rapidly as the situation dictated. At this point, however, it seems that there is a need to codify what is currently being done
in order to evaluate operations and project for the future.¹

Technical Services

Assuming that additional trained staff are hired to assist with the increased work load expected, it is recommended that the Library:

1. establish itself with a major jobber,² preferably one such as Blackwell's which supplies both print and non-print materials as well as serial publications,³ which has extensive experience in supplying to libraries in developing countries, and which has flexible invoicing, delivery, and billing procedures which may be adapted to the needs of IU--A Library as it adjusts to local economic conditions;

2. retain a local bookseller willing to place orders for library items as an alternative source of supply.

To develop a balanced and useful collection of materials it is suggested that:

1. a subject analysis of library holdings be undertaken as the collection is being reclassified,

2. course-related titles recommended in syllabi from other associated campuses be reviewed for usefulness to IU--A and compared with IU--A holdings,

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¹ Many of the processes involved in technical processing of materials were developed with the idea that the Library and text collection would at some point in time be physically and functionally separate. Further, some policies and procedures have been written but have not been updated for some time.

² This recommendation refers to the collection of library materials only, as distinguished from texts. The author considers the support of local booktrade critical to the existence of libraries in Kenya and recommends the use of a jobber for library materials reluctantly.

³ Although the Library is presently being adequately supplied with serial publications by Ebsco Subscription Services, Birmingham, Alabama, U.S.A., the selection of a jobber which also supplies serial publications provides an option if service by Ebsco declines.
3. Lecturers be regularly supplied with publishers' catalogs, book reviews, and other selection tools from which recommendations may be made,

4. Frequent visits to local bookshops be undertaken to take advantage of the frequently valuable but undependable supply of materials which appear,

5. The Librarian carefully review course outlines, syllabi, texts, and supplementary materials to gain in-depth understanding of course content,

6. The practice of coding each library title according to course(s) for which it might be useful be continued,

7. Until such time as sufficient staff are available to allow the work to be accomplished on campus, the Librarian spend one day or two half-days a month off campus reviewing selection aids such as Choice, Booklist, publishers catalogs, etc.;

8. The exchange of accession lists between associated campuses be once again attempted as an additional collection development aid.

With respect to standardization and professionalization of materials processing, the following are suggested for consideration:

1. Additional temporary professional or paraprofessional and clerical staff could be hired on a project basis to assist with the reclassification of the collection,

2. Card duplicating equipment could be purchased to speed the processing of the conversion. If possible the equipment should be purchased in the U.S. through the parent campus and hand carried to Nairobi.

4 It is anticipated that information so developed might be stored in the new computer expected to be purchased by IU–A within a year and used for curriculum development and Library reference purposes.


6 Booklist is published by the American Library Association Publishing Committee, to provide a current guide to materials worthy of consideration for purchase by small and medium-sized public libraries, school media centers, and community colleges.
3. Efforts should continue to discover a local
craftsman or to contract a special order with Mecol\(^9\) in Nairobi
to construct a durable quality card catalog cabinet to which
additions may be made as the Library grows.\(^{10}\)

4. A single supplier of card stock, duplicating equip-
ment supplies, and other Library-specific supplies could be
identified and dealt with almost exclusively so that orders may be
planned and stock-outs reduced.

5. Processing practices should be formally written and
staff training sessions scheduled in their use.

6. Standard forms could be devised and printed to assist
in record keeping, especially inventory control.

To make the best use of time available, it is suggested
that:

1. at least one professional and one trained para-
professional or clerical employee be scheduled during all hours
of Library service—with the possible exception of Sundays so that
projects could be run continuously under supervision rather than
only during normal University office hours,

2. student assistants be assigned responsibility only for
non-critical or non-professional projects,

3. full-time salaried staff assume project responsibility,

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7 Some displacement of student typists may occur but their
absorption into other positions could be planned especially if the
campus relocated and became a boarding facility which may supply
numerous work study opportunities.

7 The recommended piece of equipment is the Minigraph by Weber
whose cost in the U.S. in 1981 was approximately U.S.$ 600 and which
sold in Nairobi for approximately Ksh 20,000. Because of its size
(about that of a portable typewriter) it could rather easily come as
baggage on a commercial flight. (Depending on the duty charged, the
savings may warrant the trouble, but no firm figures on duty were
available.)

9 Mecol Ltd., P.O. Box 49861, Nairobi, makers of office
furniture.

10 The possibility of producing a book catalog for the Library
exists as the data input follows computer format but the conversion
is not recommended until the collections have been reclassified and data
tecords carefully screened and coordinated, which will likely take at
least three years at the present rate of activity.
4. projects be planned on a quarterly and yearly basis rather than ad hoc,

5. the Library remain closed to all users for a minimum of one week per academic year for inventory or other critical projects for the next three years. (The week may be continuous or broken into segments depending on the academic schedule.)

Public Services

Until such time as sufficient trained staff are hired, service might be enhanced by:

1. careful delineation of services to be given with parameters defined,

2. the development of a program of library instruction\textsuperscript{11} for users which includes parameters of services available,

3. thorough training of library assistants in policy and procedures with particular emphasis on service techniques and the importance of making the user the focus of service, not the convenience of Library staff,\textsuperscript{12}

4. the careful use of information circulars and publicity regarding Library services within the University,

5. the assignment of at least one full-time salaried staff member during graduate class periods to handle the special needs of this group of users and to create stronger channels of communication with graduate lecturers (The use of student assistants in a position of authority vis a vis graduate students and faculty has been totally unsatisfactory.),

6. the use of formal or social staff meetings (minimum of one per quarter) both as a mechanism for unifying an otherwise fragmented staff and as an opportunity for training and the definition and delineation of policies, procedures, plans, changes, etc.,

7. the institution of some form of visible security as a deterrent to the abuse of circulation procedures.

\textsuperscript{11} This should be in conjunction with English 102, the newly established course (1 unit value) on Library skills which is expected to become fully operative in September 1982.

\textsuperscript{12} The author believes that a great deal of control in Library matters depends on the goodwill of the user who can easily sabotage operations. Where the user believes the Library is dedicated to his or her best interests, cooperation is more likely to occur. Goodwill is heavily dependent on user/staff relations.
International University--Africa

One major recommendation involving the university administration is that of setting up some means of access to foreign exchange. A second involves reaffirming local credibility. These will be discussed in the section "Other Associated Campuses."

A further recommendation involves the coordination of registration. If the Library can provide registration personnel with the number of primary texts available for courses prior to registration, then class size may be controlled so that the number of students does not exceed the number of texts available—or if it must, the Library has time to adjust to the problem.

Since registration for continuing students is sometimes held at least three weeks before the beginning of the new term, a fairly good idea of numbers could be provided so that problems could be identified and courses flagged for registration of new students and excessive enrollment avoided. Meanwhile, attempts to acquire sufficient materials could be made by the Library.

A fourth recommendation involves the formalization of the position of the graduate department head. The Library urgently needs the support of the department head and lecturers especially at the operational level if adequate materials supply is to be maintained. Recognizing that the nature of the graduate department is different than that of the undergraduate department and that a close knit community of students is unlikely, it is especially important that the department head be a full-time position and filled with someone highly involved in all aspects of the program.

Particular emphasis on creating communication with the graduate faculty is needed and the burden of contact needs be on the Librarian since the only university activity which brings faculty together is the rare faculty meeting which has been attended poorly by graduate faculty. (Meetings frequently conflict with other working schedules.)
The Librarian needs to impress upon the faculty the value of their support of Library activities, including some possibly tedious procedures, by outlining benefits to them and the students item by item and one on one if necessary. Memos may be quite appropriate and useful for communicating with some staff members, but face-to-face discussions are necessary for others, using written communication as a follow-up procedure. It seems that the time-consuming effort to learn the idiosyncrasies of individuals is necessary if the graduate program is to run smoothly.

The author firmly believes that all students need periodic visible signs of growth, change, and improvement to boost morale and as signs of continued interest in their needs. They also need, as individuals, to have their recommendations and requests taken seriously and acted upon. In a situation such as exists at IU--A where students have for years been hearing promises of new and better facilities, more books, etc., students have become somewhat cynical and really require tangible proof of action.

The Library needs to accentuate the positive and carefully respond to student requests. The response may be negative, but the time to respond must be made so that Library credibility is maintained.

Students have the potential to either totally disrupt Library services or to guarantee a large measure of success and should be treated as a highly powerful element of the environment.

Suppliers, Local

Since the Library frequently must locate and supply items very quickly—within hours—to a class, for example, whose size has increased beyond the supply of items on hand, Library staff needs to be able to rely on telephone searches to locate materials quickly and to effect immediate delivery of goods so that processing may be completed and items readied for distribution.

The establishment of accounts with various booksellers is important as is the development of confidence in the University's ability to honor its commitments. A great deal of work to establish accounts and develop such confidence has been done over the past 18 months. Efforts to maintain and strengthen such relationships
are strongly urged as well as efforts to encourage suppliers to expand their regular inventories to include materials of particular value to the University.

Specific actions recommended include:

1. creation of personal contacts with major suppliers via periodic visits to bookshops (Contacts need not be limited to the Librarian but should include one or more staff members who may act for the Librarian.),

2. identification of the buying philosophy of as many suppliers as possible so as to more precisely select shops and reduce search time when a title is urgently needed,

3. close monitoring of suppliers' accounts so that credibility of the Library (University) is retained,

4. the support of bookshops which do stock curriculum-related materials through consistent purchases and by referral of students to such shops,

5. presentation to major suppliers and publishers' representatives the University prospectus which may be used to gauge University needs.

As mentioned earlier, efforts to retain at least one local supplier willing to place special orders for single copy library titles is critical. To do so, the Library must maintain a large enough volume of business with the supplier to make the servicing of the IU--A account important to the supplier's profits.

Suppliers, Foreign

As mentioned earlier (see Technical Services), the establishment of an account with a reputable jobber for the supply of library materials is recommended.

For the supply of texts, local suppliers are frequently able to handle orders well. However, in the case of certain

\[13\] The preparation of a formal prospectus or catalog for IU--A has been deferred until the location of the permanent campus has been confirmed. In preparation, however, is a general information and admissions packet expected to be ready for distribution no later than May 1982.
publishers, the savings to the University of direct orders is substantial and makes worthwhile the effort to establish direct accounts. (McGraw Hill has been a case in point, but recent negotiations between McGraw Hill and Textbook Centre have established Textbook Centre as sole agent for McGraw in Nairobi which may alter the situation.)

Once a major curriculum analysis had been made and needs projected, the identification of major publishers may be made and steps toward establishing accounts with them begun. To date, efforts in this regard have been made toward McGraw Hill and with Peffer and Simon of New York, supplier for such publishers as Regnery/Gateway, Random House, Charles Scribners, Little Brown, Richard D. Irwin, Knopf, and over 40 university presses.

Other Libraries, Kenya/Kenya Library Association

At some point in the near future (2 years), the IU--A Library should begin reciprocating in fair measure the assistance so far accorded it by other libraries. Interlibrary loan requests are beginning and a specific difficulty is anticipated, i.e., the problem of handling requests which involve the loan of texts. Since many of IU--A lecturers are also associated with other local teaching institutions, the text inventory of the Library is known outside the institution and it is conceivable that multiple requests for texts may come, especially as students from other institutions are sitting for final exams, preparing papers and theses, etc. A policy for handling such requests needs to be defined before the situation develops too fully. The line between reciprocity and jeopardizing IU--A student service may be a fine one.

At present, the recommendation is to loan only the Library copy of any text title and allow outside users to use any other item in the Library only.

Further recommendations include:
1. allowing outside users access to facilities, including photocopying services,
2. limiting Library membership to current students, faculty, and staff until the collection has received the massive input expected through the offices of Dr. Rust of the San Diego campus,
3. preparing a statement of interlibrary loan and facilities usage for distribution to other institutions,

4. continued institutional membership in the Kenya Library Association.

ENVIRONMENT: EXTERNAL ELEMENTS

Other Associated Campuses

A major contribution of the associated campuses lies in the possibility of establishing tuition reciprocity such that IU--A could gain access to dollars through the parent campus in San Diego. For example, assuming there are no legal constraints to prevent it, IU--A students able to pay in dollars might pay directly to San Diego and those monies be used for IU--A book purchases and other dollar obligations required. By gaining access to dollars the University and the Library in particular would gain flexibility in acquisitions and avoid the delays associated with securing approval for the purchase of foreign exchange. Although such monies could possibly be used for the purchase of a variety of items for the University, the Library stands to gain the most in that there is no duty on educational materials as there would likely be on most other items.

Assuming some sort of pool of dollars upon which IU--A might draw, it seems probable that the same might be possible for all campuses. If so, then the coordination of library acquisitions in certain areas may be possible. For example, a serials supplier might be approached with a master order for all campuses and induced to provide a substantial discount for all titles ordered in multiple subscriptions. Obviously a great deal of coordination would be required, but if the savings could be shown to warrant the work, it might be tried.

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15 That IU--A establish its own external account was broached to the University President during one of his visits to the campus in 1982. Local banking authorities told him it couldn't be done. The author has been unable to gain particulars of the reasons given.
At the least, a continuation of the dialogue between campus libraries begun in 1981 should continue. The burden for the supply of information will likely fall on the San Diego Walker Library as its resources far exceed those of the other campuses. However, if such basic information as serials holdings, periodic accessions lists, and a copy of texts ordered in support of courses could be provided to each campus library, a great deal of coordination could be achieved and resource sharing increased. Too, if the campuses could agree to the use of AACR2\textsuperscript{16} cataloging and if all campus computers were compatible, a huge improvement in collection development would be possible through the production of subject and/or course bibliographies, order lists, etc.

Finally, it is recommended that a more direct and visible effort to establish the credibility of the entire four campus University be undertaken at the instigation of the IU--A authorities but in coordination with those in San Diego. The IU--A campus was established during the presidency of the late Jomo Kenyatta and might find it valuable to renew its relations with the current government and more clearly indicate how it is specifically contributing to the local good. In this regard, a type of public relations position might be considered for the IU--A campus to be filled by an individual with sterling cross-cultural credentials.

Financial Institutions/Kenya Government Ministries and Corporations

It is suggested that subsequent librarians, especially expatriates if any, take great care to identify all types of financial and government bodies whose activities influence either the University directly or the economic, legal, and political environment in which the University operates. Further, a study of the structure of each could be undertaken so that the precise points of most effective contact be identified.

Too, records and samples of transactions between the Library—or the University—and these institutions could be kept for training purposes, especially since the rate of personnel turnover

is expected to be high for some time to come. The amount of time required to learn the mechanics of each agency's interaction is very high and needn't be undertaken by every individual filling the Librarian's position.

Conclusion

An attempt has been made to identify problems and make recommendations for their solution.

One area conspicuously absent from the discussion has been the financing of Library operations.

From September 1980 through March 1982, all requests for funding for Library operations were approved including funds for collection development, the purchase of equipment, and staffing. In a sense the Librarian was being allowed to compensate for inadequate allocation of funds for the previous three to four years. (The inadequate allocations did not reflect so much a refusal on the part of IU--A administration to support the Library so much as the fact that there had been no one charged with Library development who created demands for funds.)

The compensatory period will eventually end, although Dr. Rust, USIU President, has alluded to a massive infusion of funds (whose source is uncertain, however) to build up the collection with emphasis on business materials based on the Harvard Baker Library Core Collection.

Prior to the end of the compensatory period, a means for continuing fund allocations needs to be developed, based, possibly, on a percentage of the total IU--A budget or per student.

It is suggested that a collection development proposal be presented outlining the primary areas of library as distinct from text development, an estimate of funds required, and a timetable for acquisition.

With such a plan and by the implementation of some of the other recommendations suggested, the expected turnover in IU--A and Library management will not necessarily interrupt the growth of the collection and Library services in general.
BIBLIOGRAPHY

Books


Periodicals


**Reports**


APPENDIX

Item A

IU--A LIBRARY USER ASSESSMENT
Winter Quarter 1982
Results

The assessment was a first attempt to formally gauge the users' view of the library with particular interest in determining whether any significant improvement in Library services was perceived by continuing students.

The sample was smaller than originally planned so the results must be weighted accordingly. It is recommended that another assessment with a larger sample be conducted in another year at which time the comparison of responses according to student major be considered.

CHARACTERISTICS OF SAMPLE

1. Total sample (46 students)
   a. 20% of total undergraduate population as follows:
      
      | Major/undergrad    | % of Sample | % of Student Body |
      |-------------------|-------------|-------------------|
      | Business Admin.   | 78          | 82.6              |
      | Psychology        | 5           | 6                 |
      | International Rel.| 8           | 4.8               |
      | Sociology/Anthro. | 5           | 4.3               |
      | Human Behavior    | 3           | 1.9               |
      | Total             | 99          | 99.8              |

   b. 12% of total graduate population as follows:
      
      | Major/graduate | % of Sample | % of Student Body |
      |---------------|-------------|-------------------|
      | M.C.D          | 0           | 37                |
      | M.B.A          | 100         | 63                |
      | Total          | 100         | 100               |

1 Response from faculty and staff was disappointingly small and the results do not appear in this analysis.

2 All figures are rounded to the nearest whole number except in Characteristics of Sample no. 2.

3 M.C.D refers to the Master of Science Degree in Management and Organizational Development. M.B.A refers to the Master of Business Administration Degree.
2. Year entered

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</thead>
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<td>20</td>
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<td>22</td>
</tr>
<tr>
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<td>7</td>
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3. Expected graduation date

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<td>1985</td>
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<td>7</td>
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<td><strong>Totals</strong></td>
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<td><strong>101</strong></td>
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SECTION A

The intent of questions in Section A was to determine what changes in Library service were apparent to students in the areas of general services, staff attitude and service, quantity and quality of materials.

Questions no. 12 and no. 13 were open-ended with respect to areas of greatest or least improvement.

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<th>NR</th>
<th>Totals</th>
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<td>%</td>
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<td>%</td>
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<td>0%</td>
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<td>23%</td>
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<td>9%</td>
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Question No. 12 Area Most Improved

The responses were grouped into major areas representing the basic categories of the assessment focus. More than one answer was allowed per response.

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<td>26</td>
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<tr>
<td>Personnel/Service</td>
<td>8</td>
<td>16</td>
</tr>
<tr>
<td>Other (layout)</td>
<td>5</td>
<td>10</td>
</tr>
<tr>
<td>Other (security)</td>
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<td>4</td>
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<td>2</td>
</tr>
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<td>2</td>
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<td><strong>100</strong></td>
</tr>
</tbody>
</table>

Question No. 13 Area Least Improved

The responses were grouped as in question no. 12. More than one answer allowed per response.

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<tr>
<th>Category</th>
<th>No. of Responses</th>
<th>% of Total</th>
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</thead>
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<td>4</td>
</tr>
<tr>
<td>Collection development</td>
<td>20</td>
<td>34</td>
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<tr>
<td>Personnel/service</td>
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<td>5</td>
</tr>
<tr>
<td>Other</td>
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<td></td>
</tr>
<tr>
<td>noise</td>
<td>6</td>
<td>10</td>
</tr>
<tr>
<td>space/layout</td>
<td>4</td>
<td>7</td>
</tr>
<tr>
<td>security</td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td>student purchase option</td>
<td>1</td>
<td>2</td>
</tr>
<tr>
<td>No change</td>
<td>1</td>
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<td>17</td>
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<tr>
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<td>15</td>
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<tr>
<td><strong>Total</strong></td>
<td><strong>59</strong></td>
<td><strong>101</strong></td>
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</table>

SECTION B

The intent of Section B was to measure the actual value of the Library to students in terms of the quantity and quality of materials—especially in the students' major area of study—as well as how well the Library and its staff contributed to the accessibility to and fair use of the materials.
On a scale of one to ten with one being the best (most positive) response and ten the worst (least positive) response, the results are as follows:

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<thead>
<tr>
<th>Question</th>
<th>Best Score</th>
<th>Worst Score</th>
<th>Median</th>
<th>Actual</th>
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<td>5</td>
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<td>18</td>
<td>44</td>
<td>440</td>
<td>198</td>
<td>170</td>
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</table>

It can be seen that in eight of the 18 areas, the scores fell below the median indicating a certain though not high degree of satisfaction with the Library. An analysis of the questions reveals that satisfaction was primarily with policies, procedures, staff, and the general atmosphere of the Library including the freedom to approach staff with problems, questions, etc.

A great deal of dissatisfaction was registered in the areas of supply of materials especially the quantity provided.

SECTION C

It was hoped that responses in Section C might identify areas of commendation or complaint missed in Sections A and B or reinforce areas already covered. The analysis follows the earlier categorical breakdown with a further distinction between positive and negative comments in each category.
<table>
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<tr>
<th>Category</th>
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<th>%</th>
<th>Negative</th>
<th>%</th>
</tr>
</thead>
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<td>4</td>
<td>7</td>
<td>10</td>
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<tr>
<td>Collection development</td>
<td>5</td>
<td>7</td>
<td>21</td>
<td>30</td>
</tr>
<tr>
<td>Personnel/service</td>
<td>11</td>
<td>16</td>
<td>8</td>
<td>11</td>
</tr>
<tr>
<td>Other</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>space</td>
<td>4</td>
<td>6</td>
<td></td>
<td></td>
</tr>
<tr>
<td>lighting</td>
<td>1</td>
<td>1</td>
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<td></td>
</tr>
<tr>
<td>student purchase option</td>
<td>2</td>
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<td></td>
</tr>
<tr>
<td>noise</td>
<td>6</td>
<td>9</td>
<td></td>
<td></td>
</tr>
<tr>
<td>litter</td>
<td>1</td>
<td>1</td>
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<tr>
<td>security</td>
<td>1</td>
<td>1</td>
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</tr>
<tr>
<td><strong>Total</strong></td>
<td>19</td>
<td>27</td>
<td>51</td>
<td>72</td>
</tr>
</tbody>
</table>

Obviously the negative responses outweighed the positive but did reinforce findings in Sections A and B. Students feel the need for more material in all areas and are concerned with space and study atmosphere while finding in general that staff and general policies of the Library are adequate.
Library Assessment

WINTER 1982

Circle as appropriate (You may circle as many categories as apply)

STUDENT
Undergraduate: Bus. Adm. Human Behavior; Sociology; Psychology; International Relations/Other specify:

Graduate: MDM/MBM


Expected graduation date: 1982/1983/1984/1985/Other specify:

FACULTY
Graduate/Undergraduate

Business/Humanities/Other, specify:

STAFF
Admissions/Business Office/Administration/Other, specify:

---

SECTION A TO BE COMPLETED ONLY BY STUDENTS OR FACULTY ENTERING IU-A BEFORE WINTER TERM (JANUARY 1982)

Circle the appropriate answer:

Compared to your first quarter (or first 3 months for staff):

1. Is your overall impression of the Library
   BETTER WORSE NO SIGNIFICANT CHANGE

2. Do you regard the hours of service
   BETTER WORSE NO SIGNIFICANT CHANGE

3. Do you regard the attitude of Library staff
   BETTER WORSE NO SIGNIFICANT CHANGE
4. Is the service by the Library staff
   BETTER  WORSE  NO SIGNIFICANT CHANGE
5. Is the quality of materials provided
   BETTER  WORSE  NO SIGNIFICANT CHANGE
6. Is the quantity of materials provided
   BETTER  WORSE  NO SIGNIFICANT CHANGE
7. Are Library policies and procedures
   MORE CLEAR  LESS CLEAR  NO SIGNIFICANT CHANGE
8. Are Library policies and procedures
   MORE CONSISTENTLY APPLIED  LESS CONSISTENTLY APPLIED  NO CHANGE
9. Are Library facilities (including layout)
   MORE ADEQUATE  LESS ADEQUATE  NO SIGNIFICANT CHANGE
10. Is the positive impact of the Library on your education
    MORE  LESS  NO SIGNIFICANT CHANGE
11. Is the influence of the Library on University operations
    MORE SIGNIFICANT  LESS SIGNIFICANT  NO SIGNIFICANT CHANGE
12. What are of Library service has improved most during your tenure with the University?
    .................................................................
    .................................................................
    .................................................................
    .................................................................
13. What are of Library service has improved the least during your tenure with the University?
    .................................................................  .................................................................

**SECTION B TO BE COMPLETED BY ALL STUDENTS, FACULTY, STAFF**

Circle the number which most closely reflects your opinion:

On a scale of 1(one) to 10(ten), please rank the Library according to the following criteria:
1. Adequacy of text collection for **YOUR SPECIFIC AREAS** of study with respect to **quantity**:

<table>
<thead>
<tr>
<th>QUITE ADEQUATE</th>
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2. Adequacy of text collection for **YOUR SPECIFIC AREAS** of study with respect to **quality**:

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3. Adequacy of reserve collection for **YOUR SPECIFIC AREAS** of study with respect to **quantity**

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4. Adequacy of the reserve collection for **YOUR SPECIFIC AREAS** of study with respect to **quality**:

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5. Adequacy of circulating collection (including serials publications) in terms of **quantity**

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6. Adequacy of the circulating collection in terms of **quality**:

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7. Overall adequacy of the entire collection in terms of **quantity**

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8. Overall adequacy of the entire collection terms of **quality**:

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</table>
10. Do Library policies and procedures contribute to the FAIR distribution of Library materials?

VERY MUCH  ADEQUATELY  VERY LITTLE
1 2 3        4 5 6 7        8 9 10

11. Are Library policies and procedures clear and easy to follow?

QUITE CLEAR  FAIRLY CLEAR  UNCLEAR
1 2 3        4 5 6 7        8 9 10

12. Is the number of procedures required by the Library

QUITE REASONABLE MODERATE EXCESSIVE
1 2 3        4 5 6 7        8 9 10

13. Are Library staff members available when needed?

USUALLY OCCASIONALLY RARELY
1 2 3        4 5 6 7        8 9 10

14. Do Library staff members offer to help or must their help be sought?

USUALLY OFFER OCCASIONALLY OFFER RARELY OFFER
1 2 3        4 5 6 7        8 9 10

15. Do staff satisfy your requests without intervention of Librarian?

OFTEN OCCASIONALLY RARELY
1 2 3        4 5 6 7        8 9 10

16. Do you feel free to bring problems, questions, etc. to the attention of Library Assistants?

VERY FREE SOMETHAT FREE RELUCTANT
1 2 3        4 5 6 7        8 9 10

17. Do you feel free to bring problems, questions, etc. to the attention of the Librarian?

VERY FREE SOMETHAT FREE RELUCTANT
1 2 3        4 5 6 7        8 9 10
18. Are your problems, questions, etc. handled to your satisfaction?

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<tr>
<th>USUALLY</th>
<th>OCCASIONALLY</th>
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Please add any comments - positive or negative - concerning areas of Library service which are of particular interest to you:

THANK YOU FOR YOUR TIME AND TROUBLE IN COMPLETING THIS ASSESSMENT.

NAME (OPTIONAL)  DATE
Our ref: EXP/JRB/jr

3rd June, 1981.

Mrs. M.P. Kraemer,
Librarian,
International University - Africa,
P.O. Box 14636,
Nairobi,
Kenya.

Dear Mrs. Kraemer,

Many thanks for your letter of the 28th May. Your messages have been passed to Mr. Raymond and Mr. Williams.

Mr. Raymond has now retired from the Company and Mrs. Rother has taken over most of his responsibilities, while Mr. Williams reciprocates your good wishes.

I enclose our brochure, together with a subscription questionnaire for periodicals. As far as these are concerned it simply means sending us a list of your requirements and preferably if you know it, when the periodicals fall due for renewal and we will raise the relevant invoice for them, which will be in the form of a pro-forma invoice payable in advance. As you are probably aware, all journal subscriptions have to be paid for in advance anyway so this is quite usual.

With regard to books, we simply receive the orders and invoice you at 90 days and charge you the nett U.K. published price with postage and packing free of charge.

I have to level with you on the question of problems that we have been faced with in dealing with Libraries in Kenya. A number of libraries have been using our services but we have had to close the accounts because of their inability to pay us in a regular manner and with the high cost of money at to-day's interest rates, the margin on which we work has been continually eroded by bank charges on overdrafts. However in your case I note that you are working through the International University in San Diego, California and therefore am wondering if it is this University which is going to finance the International University - Africa. If this is so and you can guarantee payments within the terms of this contract (Letter of Exchange Agreement) then there will be no problems in supplying books on a regular basis to the Library but we have to be assured from the financial source that all our invoices will be paid without fail on the due date.
The situation in Kenya appears to be a very strange one in that while promises are made by the Librarians the actual funding, which is beyond the Librarians control does not materialize and therefore the only way that we seem to be able to get any payment at all is through either Canada, Japan or Sweden, who I believe are the sponsoring nations.

I do look forward to hearing from you again and of course it does not matter which publisher or in which country the books are required from—we can supply, providing they are in print.

With every good wish in your new post.

Yours Sincerely,

J. R. Bailey,
Managing Director.

Encs:
Standards for College Libraries


THE ASSOCIATION OF COLLEGE AND RESEARCH LIBRARIES
50 EAST HURON STREET • CHICAGO, IL 60611
Introduction

Since the beginning of colleges libraries have been considered an essential part of advanced learning. Their role has ever been to provide access to the human records needed by members of the higher education community for the successful pursuit of academic programs. Total fulfillment of this role, however, is an ideal which has never been, and probably never will be attained. Libraries can therefore be judged only by the degree to which they approach this ideal. Expectations moreover of the degree of total success that they should attain are widely various, differing from institution to institution, from individual to individual, from constituency to constituency. It is this diversity of expectations that prompts the need for standards.

The Standards hereinafter presented do not prescribe this unattainable ideal. They rather describe a realistic set of conditions which, if fulfilled, will provide an adequate library program in a college. They attempt to synthesize and articulate the aggregate experience and judgment of the academic library profession as to adequacy in library resources, services, and facilities for a college community. They are intended to apply to libraries serving academic programs at the bachelors and masters degree levels. They may be applied also to libraries serving universities which grant fewer than ten doctoral degrees per year. They are not designed for use in two-year colleges, larger universities, independent professional schools, specialized programs or other atypical institutions.

These Standards are organized on the basis of the major functions and components of library organization and services and are arranged as follows:

1. Objectives
2. Collections
3. Organization of Materials
4. Staff
5. Delivery of Service

* Specifically these Standards address themselves to institutions defined by the Carnegie Commission on Higher Education as Liberal Arts Colleges I and II and Comprehensive Universities and Colleges I and II in A Classification of Institutions of Higher Education (Berkeley, Cal., 1973).

8. Facilities
7. Administration
8. Budget

A brief explanatory exegesis is appended to each Standard, citing the reasons for its inclusion and providing suggestions and comments upon its implementation. Complete background considerations for these commentaries may be found in the literature of librarianship.

There are a number of additional areas wherein standards are felt to be desirable when it is possible to prepare them, but for which no consensus among librarians is apparent at this time. These include measures of library effectiveness and productivity, the requisite extent and configuration of non-print resources and services, and methods for program evaluation. Research and experimentation should make it possible, however, to prepare standards for them at some future time.

STANDARD 1:

OBJECTIVES OF THE LIBRARY

1. The college library shall develop an explicit statement of its objectives in accord with the goals and purposes of the college.

1.1 The development of library objectives shall be the responsibility of the library staff, in consultation with students, members of the teaching faculty, and administrative officials.

1.2 The statement of library objectives shall be reviewed periodically and revised as needed.

Commentary on Standard 1

The administration and faculty of every college have a responsibility to examine from time to time their education programs and to define the purposes and goals of the institution. Members of the library faculty share in this executive, and they have therefrom the responsibility to promote library service consistent with institutional aims and methods. Successful fulfillment of this latter responsibility can best be attained when a clear and explicit statement of derivative library objectives is prepared and promulgated so that all members of the college community can understand and evaluate the appropriateness and effectiveness of library activities.

Preparation of library objectives is an obligation of the library faculty with the assistance of the rest of the library staff. In this effort, however, the library should seek in a formal or structured way the advice and guidance of students, of members of the teaching faculty, and of administrative officials. Library objectives
should be kept current through periodic review and revision as needed.

In preparing its statement of objectives, the library shall consider the evolution in recent decades of new roles for the American college library. Although the college library continues as in the past to serve as the repository for the printed information needed by its patrons, its resources have now been extended to embrace new forms of recorded information, and its proper purpose has been enlarged through changes in the scope of the curriculum and by new concepts of instruction. Thus it now serves also as a complementary academic capability which affords to students the opportunity to augment their classroom experience with an independent avenue for learning beyond the course offerings of the institution. Even its instructional objective of the library, however, must be conceived and formulated within the overall academic purpose of the college.

**Standard 2: The Collections**

2. **The library’s collections shall comprise all corpuses of recorded information owned by the college for educational, inspirational, and recreational purposes, including multi-dimensional, audio, pictorial, and print materials.**

---

**FORMULA A**

The formula for calculating the number of relevant print volumes (or microform volume-equivalents) to which the library should provide prompt access is as follows (to be calculated cumulatively):

1. Basic Collection
2. Allowance per FTE Faculty Member
3. Allowance per FTE Student
4. Allowance per Undergraduate Major or Minor Field*
5. Allowance per Masters Field, When No Higher Degree is Offered in the Field*
6. Allowance per Masters Field, When a Higher Degree is Offered in the Field*
7. Allowance per 6-year Specialist Degree Field*
8. Allowance per Doctoral Field*

85,000 vols.
100 vols.
15 vols.
450 vols.
6,000 vols.
1,000 vols.
6,000 vols.
25,000 vols.

A "volume" is defined as a physical unit of any printed, typewritten, handwritten, micrographed, or processed work contained in one binding or portfolio, hardbound or paperbound, which has been cataloged, classified, and/or otherwise prepared for use. For purposes of this calculation microform holdings should be included by converting them to volume-equivalents. The number of volume-equivalents held in microform should be determined either by actual count or by an averaging formula which considers each reel of microform as one, and five pieces of any other microformat as one volume-equivalent.

Libraries which can provide promptly 100 percent as many volumes as volume-equivalents as are called for in this formula shall, in the matter of quantity, be graded A. From 90-99 percent shall be graded B; from 65-79 percent shall be graded C, and from 50-64 percent shall be graded D.

* See Appendix 1, "List of Fields."
crophotography is an accepted means of compacting many kinds of records for preservation and storage. Recorded information may also come in the form of manuscripts, archives, and machine-readable data bases. Each medium of communication provides unique dimensions for the transmission of information, and each tends to complement the others.

This inherent unity of recorded information, and the fundamental communality of its social utility, require that regardless of format, all kinds of recorded information needed for academic purposes by an institution be selected, acquired, organized, stored, and delivered for use within the library. In this way the institution's information resources can best be articulated and balanced for the greatest benefit of the entire community.

It is less important that a college hold legal title to the quantity of library materials called for in Formula A than it be able to supply the amount quickly—say within fifteen minutes—as by contract with an adjacent institution or by some other means. An institution which arranges to meet all or part of its library responsibilities in this way, however, must take care that in doing so it not create supernumerary or unreimbursed costs for another institution and that the materials so made available are relevant to its own students' needs.

Since a library book collection once developed, and then allowed to languish, loses its utility very rapidly, continuity of collection development is essential. Experience has shown that even after collections have attained sizes required by this Standard, they can seldom retain their requisite utility without sustaining annual gains growth rates, before withdrawals, of at least five percent.

Higher education has thus far had too little experience with non-print library materials to permit tenuous generalizations to be made about their quantitative requirements. Since consensus has not yet been attained among educators as to the range, extent, and configuration of non-print services which it is appropriate for college libraries to offer, no generally applicable formulas are possible here. It is assumed, however, that every college library should have non-print resources appropriate to institutional needs.

The goal of college library collection development should be quality rather than quantity. A collection may be said to have quality for its purpose only to the degree that it possesses a portion of the bibliography of each discipline taught, appropriate in quantity both to the level at which each is taught and to the number of students and faculty members who use it. Quality and quantity are separable only in theory; it is possible to have quantity without quality, it is not possible to have quality without quantity defined in relation to the purposes of the institution. No easily applicable criteria have been developed, however, for measuring quality in library collections.

The best way to assure quality in a college library collection is to gain it at point of input. Thus rigorous discrimination in the selection of materials to be added to the library's holdings, whether at purchases or gifts, is of considerable importance. Care should be exercised to select a substantial portion of the titles listed in the standard, scholarly bibliographies reflecting the curriculum areas of the college and supporting general fields of knowledge. A number of such subjects lists for college libraries have been prepared by learned associations. Among general bibliographies Books for College Libraries is useful especially for purposes of identifying important retrospective titles. For current additions, provision should be made to acquire a majority of the significant new publications reviewed in Choice. Generous attention should be given also to standard works of reference and to bibliographical tools which provide access to the broad range of scholarly sources as listed in Winchell's Guide to Reference Books. Institutional needs vary so widely for periodical holdings that quantitative standards cannot be written for them at this time, but in general it is good practice for a library to own any title that is needed more than six times per year. Several good handlists have been prepared of periodical titles appropriate for college collections.

College library collections should be evaluated continuously against standard bibliographies and again; records of their use, for purposes both of adding to the collections and identifying titles for prompt withdrawal once they have outlived their usefulness to the college program. No book should be retained in a college library for which a clear purpose is not evident in terms of the institution's current or anticipated academic program; when such clear purpose is lacking, a book should be retired from the collections.

Although in the last analysis the library staff must be responsible for the scope and content of the collections, it can best fulfill this responsibility with substantial help and consultation from the teaching faculty and from students. Of greatest benefit to the library is continuing faculty assistance in defining the literature requirements of the courses in the curriculum, definitions which should take the form of written selection policies. In addition, members of the teaching faculty may participate in the selection of individual titles to be obtained. If this latter activity, however, is carried out largely by the library, then the teaching faculty should review the books acquired both for their appropriateness and the quality of their contents.
3 Library collections shall be organized by nationally approved conventions and arranged for efficient retrieval at time of need.

3.1 There shall be a union catalog of the library's holdings that permits identification of items, regardless of format, by author, title, and subject.

3.1.1 The catalog may be developed either by a single library or jointly among several libraries.

3.1.2 The catalog shall be in a format that can be consulted by a number of people concurrently and at time of need.

3.1.3 In addition to the catalog there shall also be requisite subordinate files, such as serial records, shelf lists, authority files, and indexes to nonmonographic materials.

3.2 Except for certain categories of material which are for convenience best segregated by form, library materials shall be arranged on the shelves by subject.

3.2.1 Patrona shall have direct access to library materials on the shelves.

Commentary on Standard 3

The acquisition alone of library materials comprises only part of the task of providing access to them. Collections must be indexed and systematically arranged on the shelves before their efficient identification and retrieval at time of need, which is an important test of a good library, can be assured. For most library materials this indexing can best be accomplished through the development of a union catalog with items entered in accord with established national or international bibliographical conventions, such as rules for entry, descriptive cataloging, filing, classification, and subject headings.

Opportunities of several kinds exist for the cooperative development of the library's catalog, through which economy can be gained in its preparation. These include the use of centralized cataloging by the Library of Congress and the joint compilation of catalogs by a number of libraries. Joint catalogs can take the form of card files, book catalogs, or computer files. Catalogs jointly developed, regardless of format, can satisfy this Standard provided that they can be consulted—under author, title, or subject—by a number of library patrons concurrently at their time of need. Catalogs should be subject to continual editing to keep them abreast of modern terminology, current technology, and contemporary practice.

Proper organization of the collections will also require the maintenance of a number of subordinate files, such as authority files and shelf lists, and of complementary catalogs, such as serial records. Information contained in these files should also be available in library menus. In addition, some library materials such as journals, documents, and microforms are often indexed centrally by commercial or quasi-commercial agencies, and in such cases access should be provided to these indexes as needed, whether they be in published or computer-based format.

Materials should be arranged on the shelves by subject matter so that related information can be consulted together. Some kinds of materials, however, such as maps, microforms, and non-print holdings, may be awkward to integrate physically because of form and may be segregated from the main collection. Other materials, such as rarities and manuscripts or archives, may be segregated for purposes of security. Materials in exceptionally active use, such as bibliographies, works of reference, and assigned readings, may be kept separate to facilitate access to them. Except in such cases, however, the bulk of the collections should be classified and shelved by subject in open stack areas so as to permit and encourage browsing.

Standard 4:

Staff

4 The library staff shall be of adequate size and quality to meet agreed-upon objectives.

4.1 The staff shall comprise qualified librarians, skilled support personnel, and part-time assistants serving on an hourly basis.

4.2 The marks of a librarian shall include a graduate library degree from an ALA-accredited program, responsibility for duties of a professional nature, and participation in professional library affairs beyond the local campus.

4.2.1 The librarians of a college shall be organized as an academic department—or, in the case of a university, as a school—and shall administer themselves in accord with ARLI's "Standards for Faculty Status for College and University Librarians" (See Appendix II).

4.3 The number of librarians required shall be determined by a formula (Formula B, below), which takes into account the enrollment of the college and the size and growth rate of the collections.

4.3.1 There shall be an appropriate balance of effort among librarians, support personnel, and part-time assistants, so that every staff member is employed as nearly as possible commensurate with his library training, experience, and capability.
Library policies and procedures concerning staff shall be in accord with sound personnel management practice.

Commentary on Standard 4

The college library will need a staff comprising librarians, supportive personnel, and part-time assistants to carry out its stated objectives. The librarian has acquired through training in a graduate library school, an understanding of the principles and theories of selection, acquisition, organization, interpretation, and administration of library resources. Supportive staff members have normally received specialized or on-the-job training for particular assignments within the library; such assignments can range in complexity from relatively routine or business functions to highly technical activities often requiring university degrees in fields other than librarianship. Well-managed college libraries also utilize some part-time assistants, many of whom are students. Although they must often perform repetitive and more menial work, given good training and adequate experience such assistants can often perform at relatively skilled levels and constitute an important segment of the library team.

Work assignments, both to these several levels and to individuals, should be carefully conceived and allocated so that all members of the library staff are employed as nearly as possible commensurate with their library training, experience, and capability. This will mean that the librarians will seldom comprise more than 25-35 percent of the total FTE library staff.

The librarians of a college comprise the faculty of the library and should organize and administer themselves as any other departmental faculty in the college (or in the case of the university, the library faculty is equivalent to a school faculty, and should govern itself accordingly). In either case, however, the status, responsibilities, perquisites, and governance of the library faculty shall be fully recognized and supported by the parent institution, and it shall function in accord with the ACRL “Standards for Faculty Status for College and University Librarians.”

The staff represents one of the library’s most important assets in support of the instructional program of the college. Careful attention is therefore required to proper personnel management policies and procedures. Whether administered centrally for the college as a whole or separately within the library, these policies and practices must be based upon sound, contemporary management understanding consistent with the goals and purposes of the institution. This will mean that:

1. Recruitment methods should be based upon a careful definition of positions to be filled, utilization of a wide range of sources, qualifications based upon job requirements, and objective evaluation of credentials.

2. Written procedures should be followed in matters of appointment, promotion, tenure, dismissal, and appeal.

3. Every staff member should be informed in writing as to the scope of his responsibilities and the individual to whom he is responsible.

4. Classification and pay plans should give recognition to the nature of the duties performed, training and experience required, and rates of pay and benefits of other positions requiring equivalent background.

5. There should be provided a structured program for the orientation and training of new staff members and opportunities for the continuing education of existing staff.

6. Supervisory staff should be selected on the basis of job knowledge and human relations skills and provide training in these responsibilities as needed.

7. Systems should be maintained for periodic review of employee performance and for recognition of achievement.

8. Career opportunities and counseling should be made available to library staff members at all levels and in all departments.

**FORMULA B—**

The number of librarians required by the college shall be computed as follows (to be calculated cumulatively):

- For each 500, or fraction thereof, FTE students up to 10,000 . . . . 1 librarian
- For each 1,000 or fraction thereof, FTE students above 10,000 . . . . 1 librarian
- For each 100,000 volumes, or fraction thereof, in the collection . . . . 1 librarian
- For each 5,000 volumes, or fraction thereof, added per year . . . . 1 librarian

Libraries which provide 100 percent of these formula requirements can, when they are supported by sufficient other staff members, consider themselves at the A level in terms of staff size; those that provide 75-99 percent of these requirements may rate themselves as B; those with 55-74 percent of requirements qualify for a C; and those with 40-54 percent of requirements warrant a D.
The college library shall establish and maintain a range and quality of services that will promote the academic program of the institution and encourage optimal library use.

Proper service shall include the provision of continuing instruction to patrons in the effective exploitation of libraries, the guidance of patrons to the library materials they need, and the provision of information to patrons as appropriate.

Library materials shall be circulated to qualified patrons under equitable policies and for as long periods as possible without jeopardizing their availability to others.

The availability of reading materials shall be extended wherever possible by the provision of inexpensive means of photocopying.

The quality of the collections available locally to patrons shall be enhanced through the use of "National Interlibrary Loan Code 1969" (See Appendix II) and other cooperative agreements which provide reciprocal access to multi-library resources.

The hours of public access to the materials on the shelves, to the study facilities of the library, and to the library staff shall be consistent with reasonable demand, both during the normal study week and during weekends and vacation periods.

Where academic programs are offered away from a campus, library services shall be provided in accord with ACRL's "Guidelines for Library Services to Extension Students" (See Appendix II).

Commentary on Standard 5

The primary purpose of college library service is to promote the academic program of the parent institution. The successful fulfillment of this purpose will require that librarians work closely with teaching faculty to gain an intimate knowledge of their educational objectives and methods and to impart to them an understanding of the services which the library can render. Both skill in library use and ease of access to materials can encourage library use, but the major stimulus for students to use the library has always been, and likely always will be, the instructional methods used in the classroom. Thus close cooperation between librarians and classroom instructors is essential.

Such cooperation does not come about fortuitously; it must be a planned and structured activity, and it must be assiduously sought. It will require not only that librarians participate in the academic planning councils of the institution but also that they assist teaching faculty in appraising the actual and potential library resources available, work closely with them in developing library services for new courses and new pedagogical techniques, and keep them informed of new library capabilities.

A key service of a college library is the introduction and interpretation of library materials to patrons. This activity takes several forms. The first form is instruction in bibliography and in the use of information tools. It will also familiarize patrons with the physical facilities of the library, its services and collections, and the policies and conditions which govern their use. Bibliographic instruction and orientation may be given at many levels of sophistication and may use a variety of instructional methods and materials, including course-related instruction, separate courses with or without credit, group or individualized instruction, utilizing print or non-print materials.

The second basic form which interpretation will take is conventional reference work wherein individual patrons are guided by librarians in their appraisal of the range and extent of the library resources available in them for learning and research, in the most effective marshalling of that material, and in the optimal utilization of libraries. Most library interpretative work is of this kind.

The third major genre of library interpretation is the delivery of information itself. Although obviously inappropriate in the case of student searches which are purposeful segments of classroom assignments, the actual delivery of information—as distinct from guidance to it—is a reasonable library service in almost all other conceivable situations.

As regards the circulation of library materials, the general trend in recent years has been toward longer loan periods, but these periods must be determined by local conditions which include size of the collections, the number of copies of a book held, and the extent of the user community. Circulation should be for as long periods as are reasonable without jeopardizing access to materials by other qualified patrons. This overall goal may prompt some institutions to establish variant or unique loan periods for different titles or classes of titles. Whatever loan policy is used, however, it should be equitably and uniformly administered to all qualified categories of patrons.

Locally-held library resources should be extended and enhanced in every way possible for the benefit of library patrons. Both the quantity and the accessibility of reading materials can be extended through the provision of inexpensive means of photocopying within the laws regarding copyright. Local resources should
also be extended through the provision and encouragement of reciprocal arrangements with other libraries as through the "National Interguildary Loan Code 1980" and joint-access consortia. Beyond its own local constituency every library also has a responsibility to make its holdings available to other students and scholars in at least three ways—home visits, consultation, photocopy, and through interlibrary loan.

The number of hours per week that library services should be available will vary, depending upon such factors as whether the college is in an urban or rural setting, teaching methods used, conditions in the dormitories, and whether the student body is primarily resident or commuting. In any case, library scheduling should be responsive to reasonable local needs, not only during term-time week-days but also on weekends, and, especially where graduate work is offered, during vacation periods. In many institutions readers may need access to study facilities and to the collections during more hours of the work than they require the personal services of librarians. The public's need for access to libraries may range upward to one hundred hours per week, whereas around-the-clock access to the library's collections and/or facilities may in some cases be warranted.

Special library problems exist for colleges that provide off-campus instructional programs. Students in such programs must be provided with library services in accord with ACRL's "Guidelines for Library Services to Extension Students." These Guidelines require that such services be financed on a regular basis, that a librarian be specifically charged with the delivery of such services, that the library implications of such programs be considered before program approval, and that courses so taught encourage library use. Such services, which are especially important at the graduate level, must be furnished despite their obvious logistical problems.

**Standard G:**

**Facilities**

6 The college shall provide a library building containing secure facilities for housing its resources, adequate space for administration of those resources by staff, and comfortable quarters and furnishings for their utilization by patrons.

6.1 The size of the library building shall be determined by a formula (See Formula C) which takes into account the enrollment of the college, the extent and nature of its collections, and the size of its staff.

6.2 The space of the library building and the internal distribution of its facilities and services shall be determined by function.

0.3 Except in unusual circumstances, the college library's collections and services shall be administered within a single structure.

Commentary on Standard G:

Successful library service presupposes an adequate library building. Although the type of building provided will depend upon the character and the aims of the institution, it should in all cases present secure facilities for housing the library's resources, sufficient space for their administration by staff, and comfortable quarters and furnishings for their utilization by the public, all integrated into a functional and aesthetic whole. The college library building should represent a conscious planning effort, involving the librarian, the college administration, and the architect, with the librarian responsible for the preparation of the building program. The needs of handlebarged patrons should receive special attention in the designing of the library building.

Many factors will enter into a determination of the quality of a library building. They will include such aesthetic considerations as its location on the campus, the space with which it relates to its site and to neighboring structures, and the degree to which it contributes esthetically to the desired ambience of the campus. They will also include such internal characteristics as the diversity and appropriateness of its accommodations and furnishings, the functional distribution and interrelationships of its spaces, and the simplicity and economy with which it can be utilized by patrons and operated by staff. They will include moreover such physical characteristics as the adequacy of its acoustical treatment and lighting, the effectiveness of its heating and cooling plant, and the selection of its movable equipment.

Decentralized library facilities in a college have some virtues, and they present some difficulties. Primary among their virtues is their adjacency to the laboratories and offices of some teaching faculty members within their service purview. Primary among their weaknesses are their fragmentation of unity of knowledge, their relative isolation from library users (other than aforementioned faculty), the fact that they can seldom command the attention of qualified staff over either long hours during a week or over a sustained period of time, and the excessive costs of creating duplicate catalogs, periodical lists, circulation services, and attendant study facilities. Where decentralized library facilities are being considered, these costs and benefits must be carefully compared. In general, experience has shown that except where long distances are involved, decentralized library facilities are at the present time un-
likely to be in the best pedagogical or economic interests of a college.

Standard 7: Administration

7 The college library shall be administered in a manner which permits and encourages the fullest and most effective use of available library resources.

7.1 The statutory or legal foundation for the library's activities shall be recognized in writing.

7.2 The college librarian shall be a member of the library faculty and shall report to the president or the chief academic officer of the institution.

7.2.1 The responsibilities and authority of the college librarian and procedures for his appointment shall be defined in writing.

7.3 There shall be a standing advisory committee comprising students and members of the teaching faculty which shall serve as the main channel of formal communication between the library and its user community.

7.4 The library shall maintain written policies and procedures manuals covering internal library governance and operational activities.

7.4.1 The library shall maintain a systematic and continuous program for evaluating its performance and for identifying needed improvements.

7.4.2 The library shall develop statistics not only for purposes of planning and control but also to aid in the preparation of reports designed to inform its publics of its accomplishments and problems.

7.5 The library shall develop, seek out, and utilize cooperative programs for purposes of either reducing its operating costs or enhancing its services, so long as such programs create no unreimbursed or unreciprocated costs for other libraries or organizations.

Formula C:

The size of the college library building shall be calculated on the basis of a formula which takes into consideration the size of the student body, requisite administrative space, and the number of physical volumes held in the collections. In the absence of consensus among librarians and other educators as to the range of non-book services which it is appropriate for libraries to offer, no generally applicable formulas have been developed for calculating space for them. Thus, space required for a college library's non-book services and materials must be added to the following calculations:

a. Space for Readers. The seating requirement for the library of a college wherein less than fifty percent of the FTE enrollment resides on campus shall be one for each five FTE students; the seating requirement for the typical residential college library shall be one for each four FTE students; and the seating requirements for the library in the strong, liberal arts, honors-oriented college shall be one for each three FTE students.

In any case, each library seat shall be assumed to require twenty-five square feet of floor space.

b. Space for Books. Space required for books depends in part upon the overall size of the book collection, and is calculated cumulatively as follows:

<table>
<thead>
<tr>
<th>Square Feet/Volume</th>
</tr>
</thead>
<tbody>
<tr>
<td>For the first 150,000 volumes 0.10</td>
</tr>
<tr>
<td>For the next 150,000 volumes 0.09</td>
</tr>
<tr>
<td>For the next 300,000 volumes 0.08</td>
</tr>
<tr>
<td>For holdings above 600,000 volumes 0.07</td>
</tr>
</tbody>
</table>

c. Space for Administration. Space required for such library administrative activities as acquisition, cataloging, staff offices, catalogs, and files shall be one-fourth of the sum of the spaces needed for readers and books as calculated under (a) and (b) above.

This tripartite formula indicates the net assignable area necessary for all library services except for non-book services. (For definition of "net assignable area" see "The Measurement and Comparison of Physical Facilities for Libraries," produced by ALA's Library Administration Division. See Appendix II.) Libraries which provide 100 percent as much net assignable area as is called for by the formula shall qualify for an A rating as regards quantity; 75-99 percent shall warrant a B; 60-74 percent shall be due a C; and 50-59 percent shall warrant a D.
The library shall be administered in accordance with the spirit of the A.I.A. "Library Bill of Rights." (See Appendix II.)

Commentary on Standard 7

Much of the commentary on general administration of the college library is gathered under the several other Standards. Matters of personnel administration, for example, are discussed under Standard 4, and fiscal administration is glossed under Standard 8. Some important aspects of library management, however, must be considered apart from the other Standards.

Primary among administrative considerations which are not part of other Standards is the matter of the responsibilities and authority both of the library as an organization and of the college librarian as a college officer. No clear set of library objectives, no tenable program of collection development, no defensible library personnel policy can be developed unless there is first an articulated and widespread understanding within the college as to the statutory, legal or other basis under which the library is to function. This may be a college bylaw, or a trustee minute, or a public law which shows the responsibility and flow of authority under which the library is empowered to act. There must also be a derivative document defining the responsibility and authority vested in the office of the college librarian. This document may also be statutorily based and should spell out, in addition to the scope and nature of his duties and powers, the procedures for his appointment and the focus of his reporting responsibility. Experience has shown that, for the closest coordination of library activities with the instructional program, the college librarian should report either to the president or to the chief officer in charge of the academic affairs of the institution.

Although the successful college library must strive for excellence in all of its communications, especially those of an informal nature, it must also have the benefit of an advisory committee representing its user community. This committee—of which the college librarian should be an ex officio member—should serve as the main channel of formal communication between the library and its publics and should be used to convey both an awareness to the library of its patrons' concerns, perceptions, and needs, and an understanding to patrons of the library's capabilities and problems. The charge to the committee should be specific, and it should be in writing.

Many of the precepts of college library administration are the same as those for the administration of any other similar enterprise. The writing down of policies and the preparation of procedures manuals, for example, are required for best management of any organization so as to assure uniformity and consistency of action, to aid in training of staff, and to contribute to public understanding. Likewise sound public relations are essential to almost any successful service organization. Although often observed in their omission, structured programs of performance evaluation and quality control are equally necessary. All of these administrative procedures are important in a well-managed library.

Some interlibrary cooperative efforts have tended in local libraries to enhance the quality of service or reduce operating costs. Labor-sharing, for example, through cooperative processing programs has been beneficial to many libraries, and participation in the pooled ownership of seldom-seized materials has relieved pressure on some campuses for such materials to be collected locally. The potential values of meaningful cooperation among libraries are sufficient to require that libraries actively search out and avail themselves of cooperative programs that will work in their interests. Care should be taken, however, to assure that a recipient library reimburse, either in money or in kind, the full costs of any other institution that supplies its service, unless of course the supplying institution is specifically charged and funded so to make its services available.

College libraries should be impervious to the pressures or efforts of any special interest groups or individuals to shape their collections and services in accord with special pleadings. This principle, first postulated by the American Library Association in 1930 as the "Library Bill of Rights," should govern the administration of every college library and be given the full protection of all parent institutions.

Standard 8: Budget

8. The college librarian shall have the responsibility for preparing, defending, and administering the library budget in accord with agreed-upon objectives.

8.1. The amount of the library appropriation shall express a relationship to the total institutional budget for educational and general purposes.

8.2. The librarian shall have sole authority to apportion funds and initiate expenditures within the library approved budget, in accord with institutional policy.

8.3. The library shall maintain such internal accounting as is necessary for approving its invoices for payment, monitoring its encumbrances, and evaluating the flow of its expenditures.

Commentary on Standard 8

The library budget is a function of program planning and tends to define the library's objec-
ties in fiscal terms and for a stated interval of time. Once agreed to by the college administration, the objectives formulated under Standard 1 should constitute the base upon which the library's budget is developed. The degree to which the college is able to fund the library in accord with its objectives is reflected in the relationship of the library appropriation to the total educational and general budget of the college. Experience has shown that library budgets, exclusive of capital costs and the costs of physical maintenance, which fall below six percent of the college's total educational and general expenditures are seldom able to sustain the range of library programs required by the institution. This percentage moreover will run considerably higher during periods when the library is attempting to overcome past deficiencies, to raise its "grade" on collections and staff as defined elsewhere in these Standards, or to meet the information needs of new academic programs.

The adoption of formulas for preparation of budget estimates and for prediction of library expenditures over periods of time are relatively common, especially among public institutions. Since such formulas can often provide a gross approximation of needs, they are useful for purposes of long-range planning, but they frequently fail to take into account local cost variables, and they are seldom able to respond promptly to unanticipated market inflation or changes in enrollment. Thus they should not be used, except as indicators, in definitive budget development.

Among the variables which should be considered in estimating a library's budget requirements are the following:

1. The scope, nature, and level of the college curriculum;
2. Instructional methods used, especially as they relate to independent study;
3. The adequacy of existing collections and the publishing rate in fields pertinent to the curriculum;
4. The size, or anticipated size, of the student body and teaching faculty;
5. The adequacy and availability of other library resources in the locality to which the library has contracted access;
6. The range of services offered by the library, the number of service points maintained, the number of hours per week that service is provided, etc.;
7. The extent to which the library already meets the Standards defined in these pages.

Procedures for the preparation and defense of budget estimates, policies on budget approval, and regulations concerning accounting and expenditures may vary from one institution or jurisdiction to another, and the college librarian must know and conform to local practice. In any circumstance, however, sound practices of planning and control require that the librarian have sole responsibility and authority for the allocation—and within college policy, the reallocation—of the library budget and the initiation of expenditures against it. Depending upon local factors, between 35 and 45 percent of the library's budget is normally allocated to the purchase of materials, and between 50 and 60 percent is expended for personnel.

The preparation of budget estimates may be made on the basis of past expenditures and anticipated needs, comparison with similar libraries, or statistical norms and standards. More sophisticated techniques for detailed analysis of costs by library productivity, function, or program—useful in the evaluation of library performance—have been attempted in some libraries. Such procedures require that the library develop quantitative methods by which to prepare estimates, analyze performance, and determine the relative priority of services rendered. Although this kind of budgeting, once refined, may lead to more effective fiscal control and greater accountability, libraries generally have thus far had too little experience with program budgeting or input-output analysis to permit their widespread adoption at this time.

APPENDIX 1

List of Fields

(Count each line as one program)

Advertising
Afro-American/Black Studies
Agriculture & Natural Resources
  Agricultural Biology
  Agricultural Business
  Agricultural Chemistry
  Agricultural Economics
  Agricultural Education
  Agricultural Engineering:
    See Engineering
  Agriculture
  Agronomy
  Animal Science
  Crop Science: See Agronomy
  Dairy Science
  Fisheries
  Food Industries
  Forestry
  Fruit Science and Industry
  International Agriculture
  Mechanized Agriculture
  National Resources Management
  Ornamental Horticulture
  Poultry Industry
  Range Management
  Soil Science
  Veterinary, Pre-
  Watershed Management
  Wildlife Management
American Studies
Anthropology
Architecture (See also City Plan, Urban Land-

scape Arch)
Art
Art History
Asian Studies (See also East Asian)
Astronomy
Behavioral Sciences
Bilingual Studies
Biochemistry
Biology, Biological Sciences (See also Botany, Microbiology, etc.)
Biology and Mathematics
Black Studies; See Afro-American
Botany
Business Administration
Accounting
Business Administration
Business Economics
Business Education
Business, Special Interest
Business Statistics
Data Processing
Finance
Hotel and Restaurant Management
Industrial Relations
Information Systems: Listed alphabetically under "IT"
Insurance
International (World) Business
Management (Business)
Marketing (Management)
Office Administration
Operations Research
(Management Science)
Personnel Management
Production/Operations Management
Public Relations
Quantitative Methods
Real Estate
Secretarial Studies
Transportation Management
Cell Biology
Chemical Physics
Chemistry
Chinese
City/Regional/Urban Planning
Classics
Communications
Communicative Disorders
See Speech Pathology
Comparative Literature
Computer Science
Correctional: See Criminal Justice
Creative Writing
Crime, Law and Society
Criminalistics (Forensic Science)
Criminal Justice Administration
Criminal Justice—Corrections
Criminal Justice—Security
Criminology
Cybernetic Systems
Dance
Dietetics and Food Administration
Drama (Theater Arts)
Earth Sciences
East Asian Studies
Ecology/Environmental Biology
(See also Environmental Studies)
Economics

Education
Adult Secondary
Child Development
Counseling/Guidance
Curriculum and Instruction
Culturally Disadvantaged
Deaf
Education
Educational Administration
Educational Foundations and Theory
Educational Psychology
Educational Research
Educational Supervision
Elementary Education
Gifted
Health and Safety
Instructional Media
(Audio-Visual)
Learning Disabilities
(Handicapped)
Mentally Retarded
Orthopedically Handicapped
Reading Instruction
School Psychology: See Psychology
Secondary Education
Special Education
Special Education Supervision
Special Interest
Visually Handicapped
Visually Handicapped: Orientation and Mobility
Engineering
Aeronautical Engineering, Aerospace and Maintenance
Aeronautics (Operations)
Agricultural
Air Conditioning, Air Pollution: See Environmental Engineering
Architectural
Biomedical Engineering
Chemical
Civil
Computer
Construction
Electrical
Electrical/Electronic
Electronic
Engineering
Engineering Materials
Engineering Mechanics
Engineering Science
Engineering Technology
Environmental
Environmental Resources
Industrial Administration
Industrial Engineering
Measurement Science
Mechanical
Metallurgical
Nuclear
Ocean
Structural
Surveying and Photogrammetry
Systems
Transportation
Water Pollution: See Environmental
Water Resources
English
English as a Second Language
Entomology
Environmental Studies
Ethnic Studies (See also Afro-American and Mexican-American)
European Studies
Expressive Arts: See Fine and Creative Arts
Film
Fine and Creative Arts
Food and Nutrition: See Dietetics
French
Genetics
Geography
Geology
German
Government: See Political Science
Government-Journalism
Graphic Communications (Printing)
Graphic Design
Health and Safety: See Education
Health, Public (Environmental)
Health Sciences
History
Home Economics
Hotel Management: See Business
Humanities
Human Development
Human Services
Hutchins School
Indian Studies
Industrial Arts
Industrial Design
Industrial Technology
Information Systems
Interior Design
International Relations
Italian
Japanese
Journalism (see also Communications)
Landscape Architecture
Language Arts
Latin American Studies
Law Enforcement: See Criminal Justice
Liberal Studies
Library Science
Linguistics
Literature: See also English
Marine Biology
Marriage and Family Counseling
Mass Communications: See Communications
Mathematics
Mathematics, Applied
Medical Biology: See Medical Laboratory Technology
Medical Laboratory Technology (Clinical Science)
Meteorology
Mexican-American/La Raza Studies
Microbiology
Music Education
Music (Liberal Arts)
Music (Performing)
Natural Resources: See Agriculture
Natural Science
Nursing (See also Health Sciences)
Occupational Therapy

Oceanography
Park Administration
Philosophy
Philosophy and Religion
Physical Education
Men
Women
Physical Science
Physical Therapy
Physics
Physiology
Police Science: See Criminal Justice
Political Science
Psychology
Clinical
College Teaching
Developmental
Educational: See Education
Industrial
Physiological
Psychology
Research
School
Social
Public Administration
Public Relations: See Business category or Communications degrees
Radiological and Health Physics
Radio-Television (Telecommunications)
Recreation Administration
Rehabilitation Counseling
Religious Studies
Russian
Russian Area Studies
Social Sciences: See Anthropology, Sociology, etc.
Social Welfare and Services
Sociology
Spanish
Special Major
Speech and Drama
Speech Communication
Speech Pathology and Audiology
Speech Therapy
Communicative Disorders
Statistics
Theater Arts: See Drama
Urban Planning: See City Planning
Urban Studies
Vocational Education
Zoology

APPENDIX II
Other Works Cited


The "Standards for College Libraries" were first prepared by a committee of ACRL, and promulgated in 1969. The present 1975 revision was prepared by the ACRL Ad Hoc Committee to Revise the 1969 Standards. Members were: Johnnie Gibson, Austin Peay State University (Chairman); David Kaiser, Graduate Library School, Indiana University (Project Director and Editor); Arthur Monke, Bowling College; David L. Perkins, California State University, Northridge; James W. Pierce, Lewis & Clark College; Jasper C. Schaad, Wichita State University; and Herman L. Totten, School of Librarianship, University of Oregon.

The effort was supported by a J. Morris Jones—World Book Encyclopedia—ALA Books Award.

Copies of these Standards are available, upon request, from the ACRL Office, 50 E. Huron St., Chicago, IL 60611.
EXCHANGE CONTROL CIRCULAR NO. 7/81/10

TO: ALL BANKS.

EXCHANGE CONTROL ADMINISTRATIVE NOTICES AND INSTRUCTIONS

EXCHANGE CONTROL NOTICE NO. 10

PAYMENT FOR IMPORTS:

(1) Exchange control notice no. 10 appearing in the manual, "exchange control administrative notices and instructions" is cancelled and superseded by a revised version attached to this circular. Import Schedules have also been revised and the new ones are on sale from the Government Printer. The new notice introduces a change in import policy in an effort to move from quantitative restrictions as announced in the Budget Speech for the fiscal year 1981/1982. Apart from the revision of Schedules all previous procedures remain unaltered.

DISCREPANCIES BETWEEN LICENCE AND FINAL INVOICE

(2) Pre-shipment inspection of imports by the Societe Generale de Surveillance SA. (SGS) is conducted on the basis of the supplier's final invoice. The value of the goods on the final invoice and therefore on the original "Clean Report of Findings" may differ from the value stated in the Import Licence and/or Foreign Exchange Allocation Licence for various reasons. In such circumstances the value indicated in the seller's final invoice and the original "Clean Report of Findings" may be paid notwithstanding any excess over the amount stated in the licence.
For goods which are not subject to pre-shipment inspection and price comparison, variation in freight may be allowed provided that such variation is properly documented, but no other increase may be made in the amount of foreign exchange allocated except by special reference to exchange control.

Applications for amendments to allocations of exchange should be submitted to Central Bank, Exchange Control Department through the importer's bank by letter in quadruplicate accompanied by the original and duplicate copies of the approved foreign exchange allocation licence. Those affecting the goods (i.e. quality, quantity or description) must be submitted through the Director of Internal Trade. For change of supplier, such application should be accompanied by at least two copies of a proforma invoice from the new supplier. Amendment regarding increase in total C & F value should be accompanied by one per cent fee for the difference.

**PROHIBITION OF PREPAYMENTS**

(3) Your attention is drawn to paragraph 10 (c) of the notice: CLEAN PAYMENTS, which states: "Clean payments will not normally be allowed before entry of the goods to customers. If advance payment is necessary for very exceptional reasons, application may be made to Exchange Control accompanied by the Declaration in duplicate per Annex to the notice.—Authorised banks are reminded that they should desist from making unauthorised advance payments.

**SHIPPING GUARANTEES**

(4) When authorised banks are unable to issue a shipping guarantee because a "Report of Findings" has not been received by the importer, the following procedure will be adopted:
1. Application quoting foreign exchange licence number should be made to Central Bank of Kenya, Exchange Control, Audit Office to ascertain if a copy of a "Report of Findings has been received.

2. In the event of Exchange Control being unable to confirm receipt of a "Report of Findings", application should be made to SGS Kenya Limited, Nairobi, International House, P.O. Box 72118, Nairobi, (Telephone: 335237) giving details of the applicable foreign exchange allocation licence (F.E.A.L.) number, and the name and address of the overseas seller. SGS will telex their appropriate overseas representatives and provided confirmation in writing of the issue of a "Clean Report" is received, the shipping guarantee may be issued. It is stressed that a shipping guarantee may not be issued against a "Non-Negotiable Report" without specific exchange control approval. Such guarantees will not be issued if goods subject to inspection are shipped without complying with the inspection requirement.

(5) The Director of Internal Trade normally issues licences with a validity of 6 months extendable for a further three months. Where shipment is not made within the total validity period, the licence should be considered as cancelled. If the goods are still required, a fresh application should be made.

(6) Exchange Control Circular No. 6/79/10 of 29th November, 1979 on import deposit requirements remains except that deposits will be retained for
3 months in the case of passenger cars and textiles and 1 month for other goods attracting deposit.

The importation of goods into Kenya is subject to the policy of the government as determined by the Director of Interal Trade.

Exchange Control

Central Bank of Kenya

EXCHANGE CONTROL

7:81:10

10:11:81

Schedule D141

Contains items not yet importable, with permission given by the Director of Internal Trade and subject to issuance of foreign exchange by the Central Bank of Kenya.

Contains imports which fall under two categories:

1. Certain high priority items which are readily licensed by the Director of Internal Trade and where foreign exchange will be issued provided the proper agency, such as Ministry of Health, Ministry of Agriculture or Ministry of Livestock Development has given its approval.

2. Middle priority items subject to import licensing by the Director of Internal Trade, for which foreign exchange will be provided by the Central Bank of Kenya on quasi-cash.
PAYMENT FOR IMPORTS

1. The importation of goods into Kenya is subject to the licensing policy of the Government as administered by the Director of Internal Trade.

IMPORT SCHEDULES

2. Exchange is provided freely for licenced imports. All imports are listed in three schedules. The schedules are revised from time to time according to availability of exchange and other considerations. Current schedules are on sale from the Government Printer.

Schedule (l)

Contains items freely importable, with automatic licensing by the Director of Internal Trade and expeditious issuance of foreign exchange by the Central Bank of Kenya.

Schedule (lIA)

Contains imports which fall under two categories:

1. Certain high priority items which are readily licenced by the Director of Internal Trade and where foreign exchange will be issued provided the proper agency, such as Ministry of Health, Ministry of Agriculture or Ministry of Livestock Development has given its approval.

2. Middle priority items subject to import licensing by the Director of Internal Trade for which foreign exchange will be provided by the Central Bank of Kenya on quota basis.
Schedule (11B)

Contains low priority items subject to licensing by the Director of Internal Trade and foreign exchange allocation by the Central Bank of Kenya.

APPLICATIONS PROCEDURES

3. All applications for imports should be submitted to the Director of Internal Trade.

4. Applications for imports of schedule 1 items should be submitted on Form MC/CBK/206. Applications for other imports should be submitted on Form MC/CBK/191. Each application should be completed in septuplicate and forwarded to the Director of Internal Trade who after processing will forward six copies to the Central Bank of Kenya, Exchange Control. A charge of one per cent of the total amount of each application is made by Central Bank of Kenya. A crossed cheque, payable to Central Bank of Kenya and made out for one per cent of the amount shown in the proforma invoice or indent to the nearest-shilling should be securely attached to the application form. The shilling value should be calculated at the rate of exchange ruling on the day of submission. The cheque will be returned uncleared if the application is rejected. After approval by Central Bank of Kenya, three copies of the form will be returned directly to the importer, together with a signed form certifying receipt of the cheque in respect of processing charges. No refund will be made in the event of non-utilization of the licence and no adjustment will be made for partial utilization or for any change in the relevant exchange rate.
5. All applications must be accompanied by two copies of the seller's proforma invoice or indent recording the following details:

(a) Quantity of goods.
(b) Full description of goods (including quality specifications and price per unit).
(c) Country of shipment and country of origin.
(d) Packing.
(e) Price f.o.b. or c & f.
(f) Approximate date and means of despatch (sea, air or parcel post).

EXEMPTION FROM IMPORT LICENCE

(i) Imports by the Government of Kenya for which specific arrangements exist.

(ii) Where the invoice value of essential educational materials by institutions of learning, drugs, medicine, medical preparations, therapeutical substances or spare parts, essential components/accessories intended for use in a machine (including motor vehicles and tractors) does not exceed shs. 4,500.00 c & f.

(iii) Gift transactions, supplies for diplomatic missions and United Nations Organizations, and similar transactions not involving the provision of foreign exchange from Kenya at any time.
6. All goods to be imported into Kenya except those listed in paragraph 7 are subject to pre-shipment quality and quantity inspection and price comparision on behalf of and for the account of the Central Bank of Kenya by Societe Generale de Surveillance SA. (SGS) Geneva or its representatives. The cost of presentation of goods for inspection by SGS, unpacking, handling etc., shall be for account of sellers. Sellers should be requested to give at least ten days notice to SGS, indicating the place where the goods may be inspected, and the expected time of shipment. When requesting pre-shipment inspection the seller is required to provide the SGS office with a copy of the proforma invoice, letter of credit, contract and any other document relevant to the execution of their inspection. On completion of their mandate the SGS will issue a report of findings which will be either:

(a) A clean report of findings, if the invoiced price is found acceptable and the inspection is satisfactory.

(b) A non-negotiable report of findings if the inspection reveals discrepancies.

To obtain the Clean Report of Findings the sellers shall provide SGS, after inspection of the goods, with a non-negotiable copy of a clean Bill of Lading or Air Waybill, and three copies of the final invoice covering the goods. When these documents have been received the clean report of findings will be issued. Importers are advised to warn their overseas sellers against the shipment of goods which have not been inspected, or goods for which a non-negotiable report of findings has been issued by SGS. Sellers should furthermore be warned that inspection of imports does not relieve them of their contractual obligations to the importer.
EXEMPTIONS FROM INSPECTION REQUIREMENTS

The following goods are exempted from such inspections:

(a) Precious stones, objects of art, explosives, ammunition, weapons, gold, live animals, fresh fruits and vegetables, personal effects including a used motor vehicle, newspapers and periodicals.

(b) Gift transactions, supplies for diplomatic missions and United Nations Organisations not involving the provision of foreign exchange from Kenya at any time.

(c) (i) Goods purchased by the Kenya Government.

(ii) Goods purchased through the Crown Agents.

(d) Bulk imports of crude oil for the Mombasa Refinery and other bulk supplies imported by oil companies operating in Kenya.

(e) By special arrangements with exchange control, exemption may be arranged for specialised capital equipment purchased overseas, under conditions whereby Central Bank of Kenya can be assured by a recognised financial institution that the objectives of quality and quantity inspection and price comparison have been fulfilled without the intervention of SGS.

(f) Goods with f.o.b. value in proforma invoice of less than shs 25,000.00 (part shipment in smaller lots against an FOB value equal to or exceeding shs 25,000.00 will be subject to inspection irrespective of individual values).
(e) The following goods will be subject to quantity inspection and price comparison, but not quality inspection: pharmaceutical products, dyestuffs, insecticides, special chemicals, spirits and similar commodities.


IMPORTS OF MACHINERY AS A CONTRIBUTION TO CAPITAL

8. Imports of machinery or other capital goods by an organisation in Kenya, the value of which is required to be regarded as a contribution towards capital formation or to be accounted for on a loan basis, are subject to the special procedure described in Exchange Control Notice No. 36 in addition to import procedures under this Notice. Unless specifically exempted in terms of paragraph 7(e) of this notice, all imports are subject to pre-shipment quality and quantity inspection and price comparison by SGS or its representatives.

ESTABLISHMENT OF LETTERS OF CREDIT

9. Authorised banks may open irrevocable letters of credit covering imports into Kenya only upon presentation of the original and duplicate copies of a duly authorised foreign exchange allocation licence. The latest date of shipment provided for in the letter of credit must not be later than that detailed in the approved application. Any letter of credit must call for presentation of the original of a clean report of findings of SGS or representative as one of the conditions of payment (unless goods are covered by one of the exemptions listed in paragraph 7 above).
Letters of credit should be prescribed with the following condition:-

"The presentation of a Clean Report of Findings issued by SGS, Genova S.A. or any of their authorised affiliates and representatives". The Bank establishing the letter of credit will retain the original and duplicate of the Import Licence/Exchange Allocation Licence until drawings under the credit are received.

**METHOD OF PAYMENT**

10. Authorised banks may make payments in Kenya currency to an External Account in Kenya or in any foreign currency subject to the requirements detailed hereunder:-

(a) Goods already imported into Kenya

Payment is authorised against production of the following documents:


(ii) Seller's final invoice.

(iii) Original "Clean Report of Findings" from SGS (unless the goods are covered by one of the exceptions listed in paragraph 7 above).

(iv) Exchange Control copy of the customs entry. This additional copy of the ID (import duty entry) FE (free entry), or WE (Warehousing entry) form will be marked "For Exchange Control Purposes" and will be obtained from the customs authority at the time of entry of the goods;
ALTERNATIVELY, for goods imported by parcel post, the wrapper of the parcel with the sender’s customs declaration and the duty charge docket (if any) of the Post Office affixed.

(b) **Payments against documents (Bills for collection and drawings against Letters of Credit)**

Documents of title to goods may be released and payment authorised only when the bank is in possession of the following:

(i) Original and duplicate of the Import Licence/Foreign Exchange Allocation Licence.

(ii) Seller’s final invoice.

(iii) Original of “Clean Report of Findings” (unless the goods are covered by one of the exceptions listed in paragraph 7 above).

(iv) Declaration in annex to this Notice or Exchange Control copy of the Customs Entry or Parcel Post wrapper with seller’s Customs Déclaration attached and duty charge docket (if any).

(c) **Clean Payments**

Clean payment will NOT normally be allowed before entry of the goods to customs. If advance payment is necessary for some very exceptional reasons application may be made to exchange control accompanied by the Declaration in the Annex in duplicate.
(d) Single Import Transactions of an Invoice
Value up to shs 4,500.00

Where the invoice value of drugs or spare parts as indicated in paragraph 5 (ii) above does not exceed shs 4,500.00 c & f authorised banks may, upon satisfactory evidence of importation effect payment.

GENERAL

11. Payments made will be entered on the original and duplicate of the Import Licence/Foreign Exchange Allocation Licence in the space indicated. The original will be forwarded to Central Bank of Kenya, Exchange Control with all supporting documents as soon as payment is made. When part payments are made or the Customs Entry or Parcel Post Wrapper is outstanding against completion of the Declaration (Annex), the original copy of the Import Licence/Foreign Exchange Allocation Licence will be retained and will not be forwarded to Exchange Control until complete in every respect.

When the Declaration is completed it will be attached to the original of the Import Licence/Foreign Exchange Allocation Licence. Authorised banks are required to ensure that importers undertaking to produce Exchange Control copies of Customs Entries or Parcel Wrappers are duly fulfilled within a reasonable time. The date to be entered in the Declaration for production of the documents should be related to the estimated time of arrival of the goods; a date six months from that of completion will not normally be accepted. (photo copies of Customs Entries are not to be accepted under any circumstances).
12. Import Licence/Foreign Exchange Allocation Licences are not transferable. An unutilised licence will lapse upon expiry. If the goods are still required a fresh application must be submitted. No firm order for the goods to be imported should be placed prior to the issue of Import Licence/Foreign Exchange Allocation Licence.
Our Ref: EC/NRL/1ma

International University - Africa,
P.O. Box 14634,
NAIROBI.

Attention: Mr. M.P. Kramer

Dear Sirs,

EXEMPTION FROM IMPORT LICENCES

We refer to your letter dated 28th January, 1982 on the above subject.

We wish to advise that Central Bank of Kenya can consider exemption from Import Licences for only direct imports of essential educational materials by Institutions of learning if the C & F value is below shs.4,500= In this respect, your Institution may avail itself of these facilities provided all the necessary documentation as evidence of receipt of the educational material are furnished i.e.

1. Import Entry, Post Office wrapper
2. Original invoice from supplier

We enclose a photocopy of Central Bank of Kenya's reply to a similar query by our customer for your reference.

Yours faithfully,
COMMERCIAL BANK OF AFRICA LTD.

[Signature]

N.E. LUCAULA (MISS)
EXCHANGE CONTROL
The Manager,
Commercial Bank of Africa,
P.O. Box 30437,
NAIROBI.

Dear Sir,

HERITAGE BOOKSHOP
EXCHANGE CONTROL CIRCULAR NO. EC 8/6/01
"EXEMPTION FROM IMPORT LICENCES"

Thanks for your letter of enquiry ref. BC/NRL/1ma dated 3rd December, 1981 on the above subject.

We wish to clarify that only direct imports of essential educational materials by institutions of learning qualify for exemption if the C & F value is below Sh. 4,500/- and not where such goods are imported on behalf of such institutions by private importers.

Please advise your customers accordingly.

Yours faithfully,

CENTRAL BANK OF KENYA
EXCHANGE CONTROL

/hk