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ABSTRACT

Twenty separate sets of guidelines and statements of standards from the Association of College and Research Libraries (ACRL) are contained in this collection. These include: (1) Standards for Faculty Status for College and University Librarians (1971); (2) Joint Statement on Faculty Status of College and University Librarians (1974); (3) Standards for Ethical Conduct for Rare Book, Manuscript, and Special Collections Librarians (1987); (4) Statement on the Terminal Professional Degree for Academic Librarians (1975); (5) Guidelines and Procedures for the Screening and Appointment of Academic Librarians (1977); (6) Guidelines for Two-Year College Learning Resources Programs (Revised, 1981); (7) Statement on Quantitative Standards for Two-Year Learning Resources Programs (1979); (8) Statement on Collective Bargaining (1975); (9) Joint Statement on Access to Original Research Materials (1979); (10) Guidelines on Manuscripts and Archives (1977); (11) Guidelines for Audiovisual Services in Academic Libraries (1988); (12) Guidelines for Bibliographic Instruction in Academic Libraries (1977); (13) Standards for University Libraries (1979); (14) Guidelines for Branch Libraries in Colleges and Universities (1975); (15) Standards for College Libraries (1986); (16) Guidelines on the Selection of General Collection Materials for Transfer to Special Collections (1988); (17) Guidelines for the Security of Rare Book, Manuscript, and Other Special Collections (Draft II, 1982); (18) Guidelines Regarding Thefts in Libraries (1988); (19) Guidelines for Extended Campus Library Services (1981); (20) Access Policy Guidelines (1975); and (21) The Mission of a University Undergraduate Library: Model Statement (1988). (CGD)

ACRL GUIDELINES AND STANDARDS

1974-1988

Standards for Faculty Status for College and University Librarians

Adopted by the membership of the Association of College and Research Libraries, June 26, 1971, in Dallas, Texas.

With publication increasing at an exponential rate, with the variety of forms of publication proliferating rapidly, with significant scholarly and information material appearing in all the world's languages, with the bibliographical apparatus of many fields and subfields becoming increasingly difficult to use, with the growing sophistication of library and information technology, and with the development of academic libraries into large and complex organizations, the work of the academic librarian has become highly specialized and demanding.

The academic librarian makes a unique and important contribution to American higher education. He bears central responsibility for developing college and university library collections, for extending bibliographical control over these collections, for instructing students (both formally in the classroom and informally in the library), and advising faculty and scholars in the use of these collections. He provides a variety of information services to the college or university community, ranging from answers to specific questions to the compilation of extensive bibliographies. He provides library and information services to the community at large, including federal, state, and local government agencies, business firms and other organizations, and private citizens. Through his own research into the information process and through bibliographical and other studies, he adds to the sum of knowledge in the field of library practice and information science. Through membership and participation in library and scholarly organizations, he works to improve the practice of academic librarianship, bibliography, and information service.

Without the librarian, the quality of teaching, research, and public service in our colleges and universities would deteriorate seriously and programs in many disciplines could no longer be performed. His contribution is intellectual in nature and is the product of considerable formal education, including professional training at the graduate level. Therefore, college and university librarians must be recognized as equal partners in the academic enterprise, and they must be extended the rights and privileges which are not only commensurate with their contributions, but are necessary if they are to carry out their responsibilities.

In order to recognize formally the college or university librarian's academic status, the Association of College and Research Libraries and the American Library Association endorse, and urge all institutions of higher education and their governing bodies to adopt, the following standards for all academic librarians:

1. *Professional responsibilities and self determination.* Each librarian should be assigned general responsibilities within his particular area of competence. He should have maximum possible latitude in fulfilling these responsibilities. However, the degree to which he has fulfilled them should be regularly and rigorously reviewed. A necessary element of this review must be appraisal by a committee of peers who have access to all available evidence.
2. *Library governance.* College and university libraries should adopt an academic form of governance. The librarians should form as a library faculty whose role and authority is similar to that of the faculties of a college, or the faculty of a school or a department.
3. *College and university governance.* Librarians should be eligible for membership in the academic senate or equivalent body at their college or university on the same basis as other faculty.
4. *Compensation.* The salary scale for librarians should be the same as that for other academic categories with equivalent education and experience. Librarians should normally be appointed for the academic year. If a librarian is expected to work through the summer session, his salary scale should be adjusted similarly to the summer session scale of other faculty at his college or university.
5. *Tenure.* Librarians should be covered by tenure provisions the same as those of other faculty. In the pretenure period, librarians should be covered by written contracts or agreements the same as those of other faculty.
6. *Promotion.* Librarians should be promoted through ranks and steps on the basis of their academic proficiency and professional effectiveness. A peer review system similar to that used by other faculty is the primary basis of judgment in the promotion process for academic librarians. The librarians' promotion ladder should

have the same titles, ranks, and steps as that of other faculty.

7. *Leaves*. Sabbatical and other research leaves should be available to librarians on the same basis, and with the same requirements, as they are available to other faculty.
8. *Research funds*. Librarians should have access to funding for research projects on the same basis as other faculty.
9. *Academic freedom*. Librarians in colleges and universities must have the protection of academic freedom. Library resources and the professional judgment of librarians must not be subject to censorship.

To implement these standards, the Association of College and Research Libraries and the American Library Association will:

1. Publicize these standards to all colleges and universities and their libraries, all library schools, all library organizations, all higher education organizations, and all agencies which accredit academic institutions.
2. Seek to have these standards formally adopted or endorsed by all colleges and universities and their libraries, all library schools, all library organizations, all higher education organizations, and all agencies which accredit academic institutions.
3. Investigate all violations of these standards which are reported by members of the Association of College and Research Libraries. Such investigations will be coordinated and supervised by the Committee on Academic Status of the Association of College and Research Libraries.*
4. Invoke the following sanctions against institutions of higher education which are found, after such investigation, to be in violation of any or all of these standards:
   a. Publicize the violation and the institution concerned in *CRL News* and other appropriate publications.
   b. Refuse to accept advertisements in any ALA publication for positions at that institution.
   c. Discourage its members from accepting employment at that institution, through notices in its publications and other means.

A reasonable amount of time—three to five years—should be provided college and university libraries which do not currently conform to any or all of these standards, to enable them to do so. However, no such grace period should be provided to libraries which currently do conform, either wholly or in part, and which seek to deny or withdraw any such rights and privileges.

*The Committee on Academic Status receives, from individuals, reports of potential violations of these standards and recommends appropriate action to the ACRL Board of Directors. Requests for assistance from individuals who allege that violations of these standards have occurred are within the jurisdiction of the ALA Program of Action for Mediation, Arbitration, and Inquiry, and should be directed to the Executive Director of the American Library Association.

Reprinted from the May 1974 issue of College & Research Libraries News, a publication of the Association of College and Research Libraries.

Joint Statement on Faculty Status Of College and University Librarians

Drafted by a committee of the Association of College and Research Libraries (ACRL), the Association of American Colleges (AAC), and the American Association of University Professors (AAUP).

As the primary means through which students and faculty gain access to the storehouse of organized knowledge, the college and university library performs a unique and indispensable function in the educational process. This function will grow in importance as students assume greater responsibility for their own intellectual and social development. Indeed all members of the academic community are likely to become increasingly dependent on skilled professional guidance in the acquisition and use of library resources as the forms and numbers of these resources multiply, scholarly materials appear in more languages, bibliographical systems become more complicated, and library technology grows increasingly sophisticated. The librarian who provides such guidance plays a major role in the learning process.

The character and quality of an institution of higher learning are shaped in large measure by the nature of its library holdings and the ease and imagination with which those resources are made accessible to members of the academic community. Consequently, all members of the faculty should take an active interest in the operation and development of the library. Because the scope and character of library resources should be taken into account in such important academic decisions as curricular planning and faculty appointments, librarians should have a voice in the development of the institution's educational policy.

Librarians perform a teaching and research role inasmuch as they instruct students formally and informally and advise and assist faculty in their scholarly pursuits. Librarians are also themselves involved in the research function; many conduct research in their own professional interests and in the discharge of their duties.

Where the role of college and university librarians, as described in the preceding paragraph, requires them to function essentially as part of the faculty, this functional identity should be recognized by granting of faculty status. Neither administrative responsibilities nor professional degrees, titles, or skills, per se, qualify members of the academic community for faculty status. The *function* of the librarian as participant in the processes of teaching and research is the essential criterion of faculty status.

College and university librarians share the professional concerns of faculty members. Academic freedom, for example, is indispensable to librarians, because they are trustees of knowledge with the responsibility of insuring the availability of information and ideas, no matter how controversial, so that teachers may freely teach and students may freely learn. Moreover, as members of the academic community, librarians should have latitude in the exercise of their professional judgment within the library, a share in shaping policy within the institution, and adequate opportunities for professional development and appropriate reward.

Faculty status entails for librarians the same rights and responsibilities as for other members of the faculty. They should have corresponding entitlement to rank, promotion, tenure, compensation, leaves, and research funds. They must go through the same process of evaluation and meet the same standards as other faculty members.[1]

On some campuses, adequate procedures for extending faculty status to librarians have already been worked out. These procedures vary from campus to campus because of institutional differences. In the development of such procedures, it is essential that the general faculty or its delegated agent determine the specific steps by which any professional position is to be accorded faculty rank and status. In any case, academic positions which are to be accorded faculty rank and status should be approved by the senate or the faculty at large before submission to the president and to the governing board for approval.

With respect to library governance, it is to be presumed that the governing board, the administrative officers, the library faculty, and representatives of the general faculty, will share in the determination of library policies that affect the general interests of the institution and its educational program. In matters of internal governance, the library will operate like other academic units with respect to decisions relating to appointments, promotions, tenure, and conditions of service.[2]

[1] Cf. 1940 *Statement of Principles on Academic Freedom and Tenure;* 1958 *Statement on Procedural Standards in Faculty Dismissal Proceedings;* 1972 *Statement on Leaves of Absence.*

[2] Cf. 1966 *Statement on Government of Colleges and Universities,* formulated by the American Council on Education, American Association of University Professors, and Association of Governing Boards of Universities and Colleges.

Approved by the membership of the Association of College and Research Libraries, a division of the American Library Association, June 26, 1972.

Reprinted from the February 1974 issue of College & Research Libraries News, a publication of the Association of College and Research Libraries.

Standards for ethical conduct for rare book, manuscript, and special collections librarians

By the RBMS Committee on Developing Guidelines for Professional Ethics
Terry Belanger, Chair

The official version approved at the 1987 Midwinter Meeting.

This is the text approved by the ACRL Board of Directors at its meeting on January 18, 1987. The previous draft, which appeared in *C&RL News*, July/August 1984, has been rescinded. The Rare Books and Manuscripts Section Committee on Developing Guidelines for Professional Ethics, established in late 1982, has had as its members Terry Belanger (Columbia University, School of Library Service), David Farmer (Southern Methodist University), John Lancaster (Amherst College), Beverly P. Lynch (University of Illinois, Chicago), Francis O. Mattson (New York Public Library), Robert Patterson (University of Tulsa), Christine Ruggere (University of Pennsylvania), and David Stam (New York Public Library).

These Standards were developed by the Committee on Developing Guidelines for Professional Ethics of the Rare Books and Manuscripts Section of the Association of College and Research Libraries. Approved as policy by the ACRL Board of Directors on January 18, 1987.

1. Preface

Rare book, manuscript, and special collections librarians hold positions of trust, involving special responsibilities for promoting scholarship by preserving and providing access to the records of knowledge in their care. Such librarians, in implementing the policies of their institutions, shall accept and discharge these responsibilities to the best of their abilities for the benefit of their institutions and the publics those institutions serve. In all their activities, they shall act with integrity, assiduously avoiding activities which could in any way compromise them or the institutions for which they work.

Appropriate supervisors should give a copy of these standards to all currently employed and newly employed rare book, manuscript, and special collections librarians in their institutions.

2. Access

Rare book, manuscript, and special collections librarians should be familiar with the most recent edition of "Joint Statement on Access to Original Research Materials," first approved as policy by the Association of College & Research Libraries Board of Directors in July 1976; this Statement appears in the April 1979 issue of *C&RL News*. Rare book, manuscript, and special collections librarians shall respect the privacy of individuals who created or are the subject of records and papers, especially those who had no voice in the disposition of the materials. Rare book, manuscript, and special collections librarians shall neither reveal, nor profit from, information gained through work with materials to which they have access but to which others have restricted access.

3. Deaccession

Rare book, manuscript, and special collections librarians shall deaccession materials in their care only in accordance with the established policies of their institutions. Further safeguards, such as the advice of scholars in the field of the materials to be deaccessioned, might well be established. The procedure for the deaccession or disposal of materials shall be at least as rigorous as that for purchasing materials.

4. Appraisals

Rare book, manuscript, and special collections librarians should be familiar with the most recent edition of "Statement on Appraisal of Gifts," first approved as policy by the Association of College and Research Libraries Board of Directors in February 1973; this statement appeared in the March 1973 issue of *C&RL News* and is reprinted in the compilation of policy statements, "Guidelines on Manuscripts and Archives" (1977). Rare book, manuscript, and special collections librarians shall not give, for a fee or on a retainer, any certificate or statement as to the authenticity or authorship or monetary value of rare books, manuscripts, and other special materials in their institution's collections or in the possession of a potential donor, except where authorized by and in accordance with the established purposes of their own or other nonprofit institutions concerned, and with the knowledge of their supervisors. Rare book, manuscript, and special collections librarians shall not appraise for personal profit any rare book, manuscript, or special collections materials except with the knowledge of their supervisors.

5. Preservation

Rare book, manuscript, and special collections librarians shall protect the physical integrity of the materials in their custody, guarding them against defacement, alterations, and physical damage. They shall (so far as is economically and technologically feasible) insure that their evidentiary value is not impaired in the work of restoration, arrangement, and use.

6. Theft

Rare book, manuscript, and special collections librarians shall not knowingly acquire nor allow to be recommended for acquisition any materials which have been stolen, or materials which have been imported in contravention of the applicable laws of the countries of origin or exporting countries. Rare book, manuscript, and special collections librarians should be familiar with the most recent edition of "Guidelines for the Security of Rare Book, Manuscript, and Other Special Collections," first approved as policy by the ACRL Board of Directors in January 1982; these Guidelines appeared in *C&RL News*, March 1982.

7. Personal research

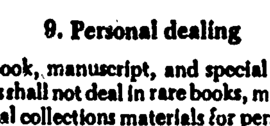
Rare book, manuscript, and special collections librarians may use their institutions' holdings for personal research, publication, and profit if such practices are made known to their immediate supervisor and conveyed to the appropriate senior administrator of their institution, and if such work is done on the same terms as others using the same holdings. Because the possibility of conflict exists, the matter shall be fully discussed by rare book, manuscript, and special collections librarians with their supervisors and clear guidelines developed.

8. Personal collecting

Private collecting of books, manuscripts, and other materials by rare book, manuscript, and special collections librarians is not to be discouraged. However, such collecting shall not conflict, either in fact or in appearance, with the best interests of an employing institution and its collecting programs. Because the possibility of conflict exists, the matter shall be fully discussed by rare book, manuscript, and special collections librarians with their supervisors and clear guidelines developed.

9. Personal dealing

Rare book, manuscript, and special collections librarians shall not deal in rare books, manuscripts, and special collections materials for personal monetary profit without the knowledge of their supervisors; nor shall they be party to the recommending of materials for purchase, by institutions or by collectors, if they have any undisclosed financial interest in these materials; nor shall they accept any commission, or undisclosed or otherwise compromising gift from any seller or buyer of such materials. Upgrading a private collection through occasional sales or purchases is not considered dealing in rare books, manuscript, and special collections. Because the possibility of conflict exists, the matter shall be fully discussed by rare book, manuscript, and special collections librarians with their supervisors and clear guidelines developed. ■■



AMERICAN LIBRARY ASSOCIATION
50 EAST HURON STREET · CHICAGO, ILLINOIS 60611 · (312) 944-6780

STATEMENT ON THE TERMINAL PROFESSIONAL DEGREE FOR ACADEMIC LIBRARIANS

Approved as policy by the Board of Directors of the Association of College and Research Libraries, a division of the American Library Association, on January 23, 1975.

The master's degree in library science from a library school accredited by the American Library Association is the appropriate terminal professional degree for academic librarians.

Guidelines and Procedures for the Screening and Appointment of Academic Librarians

Approved as policy by the Board of Directors of the Association of College and Research Libraries on June 21, 1977. This statement is an expansion and extension of the recommendations on appointment in ACRL's "Model Statement of Criteria and Procedures for Appointment, Promotion in Academic Rank, and Tenure for College and University Librarians," published in the September 1973 and October 1973 issues of College & Research Libraries News *and approved as policy, with minor revisions, in July 1974.*

Introduction

In colleges, universities, and other institutions of higher education, the selection and appointment of librarians rank among the most important and consequential decisions to be made. To improve these decisions many library administrators are turning to a consultative arrangement in the selection process. In some cases the administrator chiefly responsible for the final decision simply requests comments and evaluations from the appropriate individuals. In others this process has been formalized by the establishment of a search committee.[1] In either case the goals and benefits of consultation are similar. Consultation through a search committee solicits a breadth and range of opinion, and it facilitates objective consideration of the candidates' qualifications. It also promotes a sense of participation in the selection process by interested constituencies.

Because selection is a two-way process, these goals and benefits apply to the candidates as well as to the institution. Candidates receive a clearer and more balanced view of the institution if they have the opportunity to be interviewed by several representatives of the institution. Search committees provide the opportunity for discussion, for the development of consensus among the interviewers, and for the inclusion of varied representative viewpoints.

The advantages of using search committees for regular full-time appointments at the senior level have been recognized by many institutions. Use of search committees for other professional library positions is now also encouraged. The following guidelines are provided for those institutions which choose to use search committees. Institutions recruiting without search committees may also find that many [of th]ese principles will be useful.

The Guidelines

I. Formation of Search Committees

The ultimate objective of the search process is to select the best possible applicant in a fair, equitable, and open manner. Search committees may be elected or appointed. In either case the immediate goal in the formation of such committees should be to create a body representative of the constituencies affected by the position. Persons accepting appointment to the committee should automatically disqualify themselves as real or potential nominees.

II. Charge to Search Committees

The administrator to whom the committee is responsible should instruct the committee in writing, at the outset of the process, as to the following:

A. Approximate date for submission of a list of nominees and proposed date of appointment
B. Number of finalists to be recommended
C. Affirmative action/equal opportunity requirements (In the absence of a clear understanding of these requirements, the committee should consult with the appropriate local officer at the outset of the search.)
D. Arrangements for financial and staff resources
E. Responsibility for documenting committee actions and for preserving those records
F. The need for confidentiality and discretion
G. Any unique concerns with respect to the position.

The committee should have the prerogative of discussions with the administrator to whom the committee is responsible regarding any of the terms of the charge.

III. Development and Use of the Position Description

A written position description and a summary to be used for advertising purposes should be prepared at the outset of the search and should function as the standard against which candidate qualifications are subsequently judged. It should include a full account of the responsibilities of the position and should describe the educational background, experience, and competencies desired of the candidate.

In the development of such a statement, care should be taken to ensure correlation among position requirements, committee and/or ad-

ninistrative expectations, and salary range of-
ered.

V. Posting the Position

The responsible administrator or the chairperson should file notification of the position in the appropriate offices of the local institution and in appropriate publications, taking care that all groups which are protected by equal opportunity/affirmative action legislation are made aware of the vacancy. Notifications should include a brief description of responsibilities, qualifications, and salary range. Such notifications should also reflect those criteria against which qualifications will be judged and should indicate the information to be provided about each nominee or applicant. All announcements and invitations to apply for the position should be coordinated carefully. A closing date for receipt of applications and approximate appointment date should be specified in these communications.

V. Ethical Considerations

Committee members should be receptive to all staff and outside comments, but all statements emanating from the committee should be stated or written by a designated spokesperson for the committee. References should be solicited from individuals whose names are provided by the applicant, and the contents should be held in strict confidence within the committee. Additional professional references may also be consulted for those candidates in whom the committee is seriously interested. Should a visit to the candidate's home institution be considered essential, it should be conducted in a professional and discrete manner with adequate notification being given to all individuals involved. At the time of the request referees should be advised as to whether or not the contents of the references will be made available to the candidate in accordance with local legislation and practice. Upon request the candidates should be entitled to a full list of those individuals from whom references have been solicited.

VI. Initial Communication with Nominators and Applicants

All nominations and/or applications should be courteously and promptly acknowledged. To ensure the individual's right to privacy, persons nominated for the position should be promptly apprised of their nominations and permission requested and secured in writing before references are contacted and credentials scrutinized. Candidates who apply for a position should secure the permission of referees before listing them.

VII. Selection and Interview Procedures

A. Selection Process

Each committee should establish its own plan for screening and evaluating nominees and applica ction policies and procedures should be consistent with those established on an institution-wide basis. Whatever procedures are employed, the entire committee is responsible for the legitimacy of the process. Every committee member in every stage of the search should have full access to the names and files of all persons under consideration.

All applicants should be screened with reference to the qualifications and requirements stated in the position description. The function of initial screening is to identify and eliminate, early in the search process, nominees and applicants who are clearly unqualified. The list of persons who remain under consideration after the initial screening should be those to whom the committee will be giving careful consideration and about whom the committee may be seeking additional information. Responsibility for requesting such information should be clearly designated and its form clearly specified. Fair, objective, consistent, and equitable processes should be used to narrow the field of candidates to the desired number of finalists, who should be invited for interviews.

B. Interviews

Based on the candidate's and the institution's needs for information, the committee and the appropriate administrative officer shall determine the nature (breadth, depth, length, number, etc.) of the interview. Consideration for the candidate's personal comfort should extend throughout the interview schedule. Adequate travel directions should be given to external candidates. While maximizing the use of available time is important to both the institution and the candidate, interview schedules should acknowledge the personal needs of candidates.

Whenever possible the interview schedule should be sent to the candidate several days before the interview occurs. Changes in the date(s) of a confirmed interview should occur only as a last resort and with notification to all parties concerned. While internal changes in the interview schedule may be necessary, these should be kept to a minimum. Both the candidate and the interviewers should recognize the constraints of time during the interview process and should follow the announced schedule as closely as possible. Adequate time should be accorded the candidate to ensure that departure travel plans are fulfilled.

C. Interview Expenses

The cost of travel, meals, and lodging, if any, for candidates invited to the campus for interviews should be borne by the inviting institution. When this is not the practice, candidates should be so apprised when an invitation is issued. If an off-campus site is selected for the invited interview, the same financial arrangements should prevail. Exceptions should be considered for interviews which occur at conferences where both the institutional representative(s) and the candidate(s) are attendees.

ir and Uniform Treatment

ndidates, whether they are external or to the institution, should be accorded treatment in the screening and interocess. At the outset of its work the ee should decide the types of docun (curriculum vitae, application forms, f recommendation, etc.) it will request andidates. Likewise, interviews should r in length, scope, format, and persondidates should be judged in terms of ria delineated beforehand for the posiuestion.

commendation of Candidates

ommittee should consider and evaluate deliberate speed the information gararding the candidate in order to select t of candidates. The final list of candiuld be communicated by the chairpere administrator to whom the committee sible. The committee or the adminisy wish to schedule a meeting for mussion of the list.

nced Communications with didates

minations and/or applications should owledged courteously, and so far as candidates should be apprised promptmination from consideration. In turn, s should report to the committee any status such as acceptance of another or reconsideration of candidacy. This eporting should be undertaken periodoughout the search process with those s still active, particularly if the de period of time becomes extensive. es should be advised of important anor actual institutional changes of con-

decision has been reached to offer the o a particular candidate, the chief adve officer or his/her designee should is information to the successful can/hile the initial form of this communiy be oral, the official offer should be and should include the specifics of i.e., title, salary, date of appointment, nefits, et al. The successful candidate allowed a reasonable period of time, e to both parties and agreed upon d, to reach a decision on the matter.[2]

ding Searches

didates should be notified of the inextend the search and to readvertise on should the committee be unable to lecision based upon the applications or should desired qualifications be luring the search process.

uncement of Appointment

election of a candidate and his/her cept riting, the chief administrative officer, the committee, or its designee should coordinate the announcement of the appointment with the successful candidate and should notify all other active candidates in writing of the appointment. An announcement of the appointment should be made locally and/or nationally as deemed necessary.

XII. Records of Proceedings

A. Filing of Affirmative Action Reports

The responsible administrator (in collaboration with the appropriate local officer) should instruct the chairperson of the committee as to what official reports are to be filed. The chairperson should complete the necessary reports promptly and accurately.

B. Preservation/Disposition of Files

Promptly after the position is filled and all affirmative action reports are filed, but not until then, the chairperson should be responsible for reviewing all applicants' files. The files should be stored or disposed of in accordance with laws, regulations, and practices currently applicable in the local setting. Personal materials (e.g., books, media, folios, etc.) supplied by applicants or other sources should be returned if requested.

XIII. Conclusion of Searches

After the work has been completed, committees of an ad hoc nature should be disbanded while standing committees should turn to other business.[3]

NOTES

1. The term "search committee" as used in these guidelines designates any committee constituted for the purpose of performing any or all of the functions of compiling lists of candidates for vacant positions, screening (and eliminating) candidates in accord with agreed-upon selection criteria, and determining the slate of nominees for submission to the administrator responsible for the position.
2. See "Model Statement of Criteria and Procedures for Appointment, Promotion in Academic Rank, and Tenure for College and University Librarians," *College & Research Libraries News* (September 1973 and October 1973).
3. The ACRL Committee on Academic Status gratefully acknowledges the permission of the University of Minnesota to utilize some of the concepts and statements set forth in the document entitled "Senate Consultative Committee: Proposed Guidelines for the Establishment and Function of Search Committee for Filling Major Administrative Positions at the University of Minnesota." ■■

Copies of this statement are available upon request from the ACRL Office, 50 E. Huron St., Chicago, IL 60611.

Reprinted from the September 1977 issue of College & Research Libraries News, a publication of the Association of College and Research Libraries.

Guidelines for Two-Year College Learning Resources Programs (Revised)

Approved by the ACRL Board of Directors on June 30, 1981. These guidelines supersede and replace the previous guidelines which appeared in C&RL News, *December 1972.*

Association of College and Research Libraries
Association for Educational Communications and Technology

Two-Year College. Includes publicly-supported community colleges, privately-supported junior colleges, two-year technical colleges, and two-year branch campuses.

Learning Resources. Includes library, audio-visual and telecommunications and encompasses instructional development functions and instructional system components. (See Glossary for expanded definitions.)

Introduction. Two-year colleges constitute one of the most dynamic sectors in American higher education. They are probably the most diverse of all postsecondary institutions in the country, ranging from highly specialized technical or vocational schools to comprehensive multi-unit community colleges. In addition, there are two-year branch campuses of colleges and universities, proprietary institutions with similar missions, and other specialized institutions. A statement describing adequate learning resources and services has been difficult to formulate for such institutions because of factors such as the widely diversified purposes and sizes of the institutions—private and public, the high proportion of commuting students, the comprehensiveness of the curricula, the willingness of administrators and faculty to experiment unhampered by tradition, and the heterogeneity of background among those enrolled. Although the diversity among the institutional patterns makes the establishment of generally applicable guidelines difficult, all two-year institutions need qualitative recommendations based on professional expertise and successful practices in leading institutions which can be used for self-evaluation and projective planning.

The evolution of libraries away from their traditional function as repositories of books has been parallel to the evolution of audiovisual centers away from their traditional function as agencies for showing films. There has been a confluence of accelerated development in both areas which is inextricably interwoven in the technological revolution in education. Contemporary Learning Resources Programs in two-year colleges are supportive of institution-wide efforts. Such programs should provide innovative leadership coupled with a multiplicity of varied resources which are managed by qualified staff who serve to facilitate the attainment of institutional objectives. Paramount to the success of such programs is the involvement of Learning Resources staff with teaching, administrative, and other staff members in the design, implementation, and evaluation of instructional and educational systems of the institution.

These guidelines are diagnostic and descriptive in nature. They have been prepared to give direction to two-year colleges desiring to develop comprehensive Learning Resources Programs. This document is designed to provide criteria for information, self-study, and planning, not to establish minimal (or accreditation) standards. Application of the criteria should be governed by the purposes and objectives of each college. Since they represent recommended practices, any variant procedures should be supported by cogent reasons directly related to institutional objectives.

Nothing in these guidelines should be construed as an effort to superimpose an administrative or organizational structure upon an institution. There is no expectation that every institution should be forced into the same mold. The guidelines are more concerned with functions related to the instructional program rather than with specific organizational patterns. Although it is expected that these functions will be grouped into administrative (or supervisory) units within the Learning Resources Program, the nature of grouping and the resulting number of units must be determined by the unique requirements, resources, facilities, and staff of the college. The degree of autonomy granted each unit will also vary considerably. In some institutions, perhaps because of size, the units may be fairly task specific, with supervisory (rather than administrative) heads, and with little budgetary autonomy.

Examples of such units include: an audio-tutorial laboratory; a bibliographic control center; media production; technical processes; etc. In other institutions, each unit may subsume a number of related activities, or carry out direct instructional assignments of a broad scope, and have an administrative head and a high degree of budgetary autonomy. Examples of such units include: an audiovisual center; a computing center; a library; a telecommunications center; etc. In all institutions, however, the units report to a chief administrator responsible for overall coordination of the Learning Resources Program. The extent of direct supervision of the units will be determined by the nature of the units and the degree of autonomy granted them.

Many aspects of traditional library and audiovisual services in the two-year college and the integration of these services have not been studied adequately for long-range projection of needs. Until such studies have been made these guidelines may serve as the foundations for research and for experimentation in organization, structure, and services.

The changing and expanding role of two-year colleges in America today may well result in institutions quite different from those in operation at the present time. These guidelines, therefore, may require significant upward revision when such institutions reach a new stage in their development. At that point, they may well need greater resources and greatly extended services. All concerned should be alert to this coming challenge.

The Role of the Learning Resources Program

Many diverse elements contribute to the quality of instruction as it contributes to the development of two-year college students. No one of these is dominant or isolated from the others. Faculty, students, finances, teaching methods, facilities, resources, and educational philosophy all play significant roles in the educational environment of the institution.

Education is more than exposure through lectures and rote learning to the knowledge, ideas, and values current in society. Education is a process for communicating means for resolving the range of problems continuously encountered by man in living and in pursuing an occupation. Students must be able to explore fields of knowledge which will enhance their potential and be relevant to them. The means of exploration include active participation in the classroom and the laboratory, self-directed study, and the use of individualized instructional resources. Trained professional assistance is necessary in the design of instructional systems which contribute to the enrichment of the learning environment as well as to the support of students and faculty. The design of the instructional system, utilizing a configuration of resources, is a joint responsibility of administration, teaching faculty, and the Learning Resources staff.

The student's success in achieving instructional objectives is heavily dependent on access to materials. Both student and faculty member function at their best when Learning Resources Programs are adequately conceived, staffed, and financed. More than almost any other element in the institution, Learning Resources Programs express the educational philosophy of the institution they serve.

Because of its direct relationship to the institutional and instructional objectives, the Learning Resources Program has a fourfold role: (1) to provide leadership and assistance in the development of instructional systems which employ effective and efficient means of accomplishing those objectives; (2) to provide an organized and readily accessible collection of materials and supportive equipment needed to meet institutional, instructional, and individual needs of students and faculty; (3) to provide a staff qualified, concerned, and involved in serving the needs of students, faculty, and community; (4) to encourage innovation, learning, and community service by providing facilities and resources which will make them possible.

Glossary

The terms listed below are used throughout these guidelines as defined.

Two-year college. Any postsecondary associate degree-granting public or private educational institution which serves one or more of the following purposes: (1) providing the first two years of college work in anticipation of transfer to another institution at the junior or third-year level; (2) providing vocational and technical education in preparation for job entry; (3) offering a comprehensive program of liberal arts, occupational education, general education, and developmental education; (4) offering readily-accessible lifelong learning opportunities of all types; and (5) providing, through branches or extension centers of four-year colleges or universities, the first two years of postsecondary education. Thus the term "two-year college" includes publicly-supported community colleges, privately-supported junior colleges, two-year technical colleges, and two-year branch campuses.

Learning Resources Program. An administrative configuration within the institution responsible for the supervision and management of Learning Resources Units, regardless of the location of these components within the various physical environments of the institution.

Learning Resources Unit. A subordinate agency within the Learning Resources Program sufficiently large to acquire organizational identification as distinct from individual assignment and with an administrative or supervisory head, and which may have its own facilities, staff, and budget. How many of these units would make up the Learning Resources Program, and the functions assigned to each, will vary from institution to institution.

Instructional development functions. The solution of instructional problems through the design and application of instructional system components.

Instructional system components. All of the resources which can be designed, utilized, and combined in a systematic manner with the intent of achieving learning. These components include: persons, machines, facilities, ideas, materials, procedures, and management.

Instructional product design. The process of creating and/or identifying the most effective materials to meet the specific objectives of the learning experience as defined by instructional development.

Production. The design and preparation of materials for institutional and instructional use. Production activities may include graphics, photography, cinematography, audio and video recording, and preparation of printed materials.

Staff. The personnel who perform Learning Resources Program functions. These persons have a variety of abilities and a range of educational backgrounds. They include professional and supportive staff.

Professional staff. Personnel who carry on responsibilities requiring professional training at the graduate level and experience appropriate to the assigned responsibilities.

Supportive staff. Personnel who assist professional staff members in duties requiring specific skills and special abilities. They make it possible for the professional staff to concentrate their time on professional services and activities. Their training may range from four-year degrees and two-year degrees to a one-year certificate, or extensive training and experience in a given area or skill.

System(s) approach. A process for effectively and efficiently applying the instructional systems component to achieve a required outcome based on agreed-upon institutional goals.

Materials. Divided into three categories: written, recorded, and other materials (see below).

Written materials. All literary, dramatic, and musical materials or works, and all other materials or works, published or unpublished, copyrighted and copyrightable at any time under the Federal Copyright Act as now existing or hereafter amended or supplemented in whatever format.

Recorded materials. All sound, visual, audiovisual, films or tapes, videotapes, kinescopes or other recordings or transcriptions, published or unpublished, copyrighted or copyrightable at any time under the Federal Copyright Act as now existing or hereafter amended or supplemented.

Other material. All types of pictures, photographs, maps, charts, globes, models, kits, art objects, realia, dioramas, and displays.

I. Objectives and Purposes

A. *The college makes provision for a Learning Resources Program.*

The kinds of educational programs offered at nearly every two-year college require that adequate provisions be made for a Learning Resources Program, which should be an integral part of each institution. Learning Resources Programs should efficiently meet the needs of the students and faculty and be organized and managed for users. The effect of combining all learning resources programs under one administrative office provides for the maximum flexibility, optimum use of personnel, material, equipment, facilities, and systems to permit increased opportunities for the materials best suited for the user's needs.

B. *Learning Resources Programs have a statement of defined purpose and objectives.*

The need for clear definition of the role and purposes of the college and its various programs is highly desirable. Since Learning Resources Programs are a vital part, the objectives within the college they serve need to be defined and disseminated in an appropriate college publication. Within this framework, the following overall purposes of the Learning Resources Program are delineated:

1. *Learning Resources Programs exist to facilitate and improve learning.*

The emphasis is upon the improvement of the individual student, with a wide choice of materials to facilitate learning. Such emphasis requires a staff committed to effective management of instructional development functions and effective utilization of instructional system components.

2. *Learning Resources Programs, like the instructional staff, are an integral part of instruction.*

Students who discover by themselves, or who are encouraged by the staff or faculty to seek out, the materials appropriate to their curriculum sequence of courses should be provided options to regular classroom instruction to achieve credit for a particular course. *Such alternatives should be developed and made available to the students.* The staff provides information on new materials, acquires them, or produces them, working cooperatively with the faculty on instructional development.

3. *Learning Resources Programs provide a variety of services as an integral part of the instructional process.*

a. Instructional development functions, which include task analysis, instructional design, evaluation, and related research.

b. Acquisition of learning materials, including cataloging and other related services.

c. Production.

d. User services which include reference, circulation (print and nonprint material), transmission or dissemination, and assistance to both faculty and students with the use of Learning Resources.

e. Other services, such as the computer operation, book store, campus duplicating or printing service, the learning or developmental lab, various auto-tutorial carrels or labs, telecommunications, or other information networks might be included within the functions and purposes of the college's overall organization and objectives.

4. *Learning Resources Programs cooperate in the development of area, regional, and state networks, consortia or systems.*

Every two-year college, whether privately or publicly supported, has a responsibility to help meet the resource material need of the larger community in which it resides. Attention is placed on ways in which each college can serve that community; in turn, the community serves as a reservoir of material and human resources which can be used by the college.

If the internal needs of the college and its students and staff are met, then coordination of its resources and services with those of other institutions to meet wider needs is mandatory. Reciprocal participation in consortia with other institutions for the development of exchanges, networks, or systems provides the colleges with materials and services that otherwise could not practically be provided.

II. Organization and Administration

A. *The responsibilities and functions of Learning Resources Programs within the institutional structure and the status of the chief administrator and heads of Learning Resources Units are clearly defined.*

The effectiveness of services provided depends on the understanding by faculty, college administrators, students, and Learning Resources staff of their responsibilities and functions as they relate to the institution. A written statement, endorsed by the institution's trustees or other policy-setting group, should be readily available.

To function adequately, the chief administrator of a Learning Resources Program (whose title may vary in different institutions) reports to the administrative officer of the college responsible for the instructional program and has the same administrative rank and status as others with similar institution-wide responsibilities. These responsibilities are delineated as part of a written statement so that the chief administrator has adequate authority to manage the internal operations and to provide the services needed.

B. *The relationship of a Learning Resources Program to the total academic program necessitates involvement of the professional staff in all areas and levels of academic planning.*

Provision of learning materials is central to the academic program. As a result, the professional staff has interests which are broad and go beyond the scope of its day-to-day operations. The professional staff members are involved in all areas and levels of academic planning. The chief administrator and heads of Learning Resources Units work closely with other chief administrators of the college, and all professional staff members participate in faculty affairs to the same extent as other faculty.

The professional staff members are involved in major college committees. As far as possible, the professional staff members ought to function as liaison participants in staff meetings of the various departments.

C. *Advisory committees composed of faculty and students are essential for the evaluation and extension of services.*

As a rule, there should be a faculty advisory committee appointed by the appropriate administrative officer of the college, elected by the faculty, or selected by the procedure generally followed in the formation of a faculty committee. It should include representatives of the various academic divisions of the college and consist of both senior and junior members of the faculty, chosen carefully for their demonstrated interest beyond their own departmental concerns. The committee functions in an advisory capacity and acts as a connecting link between the faculty as a whole and the Learning Resources Program. It should not concern itself with details of administration.

A student advisory committee (or a joint advisory committee with the faculty) serves as a liaison between the student body and the Learning Resources Program. The committee should work closely with the chief administrator and should be used as a sounding board for new ideas in developing a more effective program of services.

D. *The chief administrator is responsible for the administration of the Learning Resources Program, which is carried out by means of established lines of authority, definition of responsibilities, and channels of communication through heads of Learning Resources Units as defined in writing.*

E. *Internal administration of a Learning Resources Program is based on staff participation in policy, procedural, and personnel decisions.*

The internal organization is appropriate to the institution, and within this framework is based upon a considerable amount of self-determination, guided by the need for meeting common goals. Regular staff meetings and clearly devised lines of authority and responsibility are necessary. All staff members share in the process by which policies and procedures are developed; all staff members have access to heads of Learning Resources Units and the chief administrator.

Each professional and supportive staff member is provided with a position description which clearly identifies the position duties and responsibilities, and superior and subordinate relationships. Each Learning Resources Unit requires a staff manual which provides policy and procedural statements, duty assignments, and other organizational matters, and items of general information which would compliment instructional policies.

F. *Budget planning and implementation of a Learning Resources Program is the responsibility of the chief administrator.* (See Section III.)

G. *The accumulation of pertinent statistics and maintenance of adequate records is a management responsibility.*

Adequate records are needed for internal analysis and management planning and to provide data for annual and special reports needed by the college, accrediting associations, and government agencies. Effective planning can be made only on the basis of available information. Statistics providing a clear and undistorted picture of activities, acquisitions of materials and equipment, utilization of materials, equipment and personnel, and annual expenditures are essential for federal, state, and college use. These statistics and records are collected in terms of the definitions and methods of reporting set forth in federal and professional publications. Appropriate data must also be collected and analyzed with regard to the instructional programs and the effectiveness of Learning Resources on these programs. Data of this type serve as the basis for important instructional decisions affecting the institution, faculty, students, and Learning Resources Program.

H. *Adequate management includes the preparation and dissemination of information to administration, faculty, and students concerning activities, services, and materials.*

The close interrelationship which exists with instructional departments on the campus demands that information about the Learning Resources Program be readily available. An annual report and other planned informational reports are essential for this purpose. Among other possible publications are bibliographies, acquisitions bulletins, current awareness lists, handbooks for faculty and students, releases to student and community publications through regular college channels, campus broadcasts, and utilization of other communications services which will reach students and faculty.

I. *Responsibilities for all learning resources and services should be assigned to a central administrative unit.*

Centralized administration is desirable in order to provide coordination of resources and services, to develop system approaches to needs, and to effectively utilize staff. Material and equipment, on the other hand, may be located in the areas where learning takes place. Inventory control of all materials and equipment should be the responsibility of the Learning Resources Program and its units. All such collections of materials should be considered the resources of the entire college and not limited in utilization to separate departments.

J. *Multicampus districts take advantage of the opportunity for close cooperation, exchange of resources, and shared technical processes while providing full resources and services for every campus.*

Each campus in a multicampus, two-year college district has its instructional and individual needs met on its campus. Learning Resources needed by off-campus programs are supplied by the campus sponsoring the program. There is no need, however, for duplication of routine technical processes and production facilities where these can be centralized more economically. Organizational structure within the district should facilitate cooperation and exchange of resources.

III. Budget

A. *Learning Resources Program budget is a function of program planning. It is designed to implement the realization of institutional and instructional program objectives.*

It is the responsibility of the chief administrator of the Learning Resources Program to see that each unit of a Learning Resources Program receives due attention in the budget and that the allocation of funds is based on appropriate data.

B. *Budget planning for the Learning Resources Program reflects the college-wide institutional and instructional needs, is initiated by the chief administrator, and is changed in consultation with him or her.*

Adequate budget, essential to provide good services, is based upon the needs and functions of the Learning Resources Programs in support of the institutional and instructional process.

C. *Separate categories are maintained in the budget for salaries, student wages, purchase and rental of all types of materials and equipment, production of instructional materials, supplies, external and internal direct costs (computer, fringe benefits, etc.), repairs, replacement and new equipment, travel of staff to professional meetings, and other related items.*

For management purposes, costs relating to the various types of materials and services are separately identifiable. Where specialized facilities and functions are a part of the Learning Resources Program, it is desirable that cost for these be identifiable as well.

D. *Financial records are maintained by, or are accessible to, the Learning Resources Units.*

Costs analyses and financial planning are dependent upon the adequacy of records, with sufficient additional information to enable comprehensive planning and effective utilization of all funds available. These records are not necessarily the same records as are needed in the business office.

E. *All expenditures, other than payroll, are initiated in the Learning Resources Units with payment made only on invoices verified for payment by the staff.*

Purchases are initiated by the staff through preparation of purchase order or requisition. Institutional business operations require approval of all invoices by the operating departments.

F. *To the legal extent possible and within the policies of the Board of Trustees, purchases of materials are exempted from restrictive annual bidding.*

Materials often are unique items obtainable from a single source. Equivalent prices and speedier service often can be obtained by direct access to the publisher or manufacturer rather than through a single vendor. Satisfac' ry service requires prompt delivery so that t: ~ eeds which determined their acquisition might be met; a larger discount might justifiably be rejected if it entails a delay in filling the order. Satisfactory service rendered by a vendor in the past may more than outweigh the confusion and interruption of service inherent in frequent changes of vendors through annual bidding requirements for learning materials.

G. *Purchase of materials is based on curricular requirements and other factors, and thus made throughout the year rather than annually or semiannually.*

Expenditures are based on need, availability and practical considerations such as processing time, rather than through fixed sequences which inhibit the functions of the unit.

H. *Learning Resources Program equipment is purchased through a systems approach.*

The purcha-e of any Learning Resources Program equipment, like all functions of the Learning Resources Program, should be carried out through a systems approach based on well-defined institutional and instructional objectives.

I. *Development of performance specifications for Learning Resources Program equipment to be purchased for implementation of instruction is based on valid criteria.*

Performance quality, effective design, ease of operation, cost, portability, cost of maintenance and repair, and available service are among the criteria which should be applied to equipment selection.

Most important, however, is how the item or items will fit into planning for maintenance and improvement of curriculum programming as set forth in continuous instructional design plans. Responsibility for evaluating, selecting and recommending purchase of equipment is that of the Learning Resources staff.

J. *Cooperative purchasing of materials, equipment, parts, and services should be effected where possible.*

In an effort to secure the best materials, equipment, parts, and services at the lowest cost, cooperative purchasing should be developed with :her area institutions.

IV. Instructional System Components

A. *Staff*

1. *The chief administrator of the Learning Resources Program is selected on the basis of acquired competencies which relate to the purposes of the program, educational achievement, administrative ability, community and scholarly interests, professional activities, and service orientation.*

The chief administrator has a management responsibility and is concerned and involved in the entire educational program of the institution as well as with the operation of the Learning Resources Program. The chief administrator is professionally knowledgeable about all types of materials and services and is capable of management of instructional development functions. Because the ultimate success of a Learning Resources Program is to a large extent dependent upon the ability of the chief administrator to perform multiple duties effectively, a comprehensive recruitment and selection process is of paramount importance.

2. *The administrative (or supervisory) heads of the separate Learning Resources Units are selected on the basis of their expertise in and knowledge of the function and role of the particular Learning Resources Unit which they will manage and to which they will give leadership.*

3. *A well-qualified, experienced staff is available in sufficient numbers and areas of specialization to carry out adequately the purposes and objectives of the Learning Resources Program.*

Depending upon the size and programs of the institution, the hours operated, the physical facilities, and the scope and nature of the services performed, the number and specializations of professional and supportive staff will vary from one institution to another.

4. *All personnel are considered for employment following procedures as established by the institution.*

The effectiveness of a Learning Resources Program is determined by the performance of the staff. It is essential, therefore, that all personnel—professional and support staff—be recommended for employment to the chief administrator on the advice of the Learning Resources Unit head who will be involved in the supervision of the new staff member.

5. *Professional staff members should have degrees and/or experience appropriate to the position requirements.*

Professional training is appropriate to assignment in the Learning Resources Program. Additional graduate study or experience in a subject field should be recognized for all personnel as appropriate to such assignments.

Professional staff members are assigned duties. They are accountable for the operational effectiveness of the Learning Resources Program as designated by the chief administrator and heads of units. They may be supervisors as well as professional consultants to the faculty and advisors to students.

6. *Every professional staff member has faculty status, faculty benefits, and obligations.*

Professional staff benefits include such prerogatives as tenure rights, sick leave benefits, sabbatical leaves, vacation benefits, retirement and annuity benefits, provisions for professional development, and compensation at the same level which is in effect for teaching faculty or for those at comparable levels of administration. When Learning Resources personnel work on a regular twelve-month schedule, salary adjustments will be necessary to compensate for additional service days. Where academic ranks are recognized, such are assigned to the professional staff based on the same criteria as for other faculty, and are independent of internal assignments within the Learning Resources Program.

There is the obligation of faculty status to meet all faculty and professional requirements, advanced study, research, promotion, committee assignments, membership in professional organizations, sponsorships, publication in learned journals, etc., which the institution expects of faculty members. It is expected that professional staff will abide by the institutional policy/procedures or contractual arrangements which could include such items as staff evaluation, office hours, work assignments, and other defined working relationships.

7. *Professional development is the responsibility of both the institution and the professional staff member.*

Personal membership and participation in professional activities is expected of all staff members. Further graduate study should be encouraged and rewarded. The institution is expected to encourage and support professional development by providing among other benefits: consultants for staff development sessions; travel funds for regular attendance of some staff members and occasional attendance for every staff member at appropriate state or national meetings, workshops and seminars; and special arrangements for those staff members who serve as officers or committee members or participate on a state or national program.

8. *Teaching assignments by Learning Resources staff members are considered dual appointments in calculating staff work loads.*

When members of Learning Resources staff are assigned regular teaching responsibilities in training technicians or other classroom assignments, the hours scheduled in the Learning Resources Program are reduced by an equivalent time to allow preparation and classroom contact hours.

9. *Support staff members are responsible for assisting the professional staff in providing effective services.*

Responsibility for each level of support staff will be determined by the needs of the institution and the appropriate administrative structure. The number and kind of support staff needed will be determined by the size of the college and the services provided. The educational background and experience of such support staff should be appropriate to the tasks assigned.

In many instances, graduates of four-year degree programs and two-year technical programs will meet the training required; in other cases, one-year programs may be sufficient; or skills may have been learned through extensive work experience in a related position. The support staff may be supervisors as well as technical assistants or aides.

10. *Student assistants are employed to supplement the work of the supportive staff.*

Student assistants are important because of the variety of tasks they can perform effectively. They encourage other students to use the facilities and services, and they serve as significant means of recruitment for supportive and professional positions.

They do not, however, replace provision of adequate full-time staff, nor can their work be matched on an hour-to-hour basis with that of regular full-time employment.

B. *Facilities*

1. *Planning of new or expanded facilities is accomplished with the participation and concurrence of the chief administrator in all details and with wide involvement of users and staff.*

The chief administrator and staff work with the architect and the administration in every decision and have prime responsibility in the functional planning of the facility. Employment of a knowledgeable media specialist or library building consultant results in a more functional and useful building operation and should be given serious consideration. In the case of specialized facilities, special technical consultants may be required. As a result of poor design, functions of many buildings fail because those persons who will be working in or using the building have not been involved in planning. Staff, faculty, student representatives, and others who will utilize the facilities should be consulted.

2. *In the design of classrooms and other college facilities where Learning Resources are to be used, Learning Resources specialists should be consulted.*

The effective use of an instructional system is dependent upon the availability of a suitable environment for the use of specified Learning Resources. Frequently, architects and other college staff are not always aware of all of the technical requirements of such an environment.

3. *The physical facilities devoted to Learning Resources and Learning Resources Units are planned to provide appropriate space to meet institutional and instructional objectives and should be sufficient to accommodate the present operation as well as reflect long-range planning to provide for anticipated expansion, educational mission and program and technological change.*

The location and extent of space provided for development, acquisition, design, production, and use of learning resources is the responsibility of the chief administrator of Learning Resources, and should be designed to implement explicit, well-articulated program specifications developed by the Learning Resources and instructional staff of the college. Such a program should include flexible provisions for long-range development and phasing. The alteration, expansion, or consolidation of facilities also should be guided by carefully delineated program objectives which are known and understood by Learning Resources personnel, the instructional and administrative staff of the college, and the Board of Trustees. Factors to be considered when developing facilities requirements from the program specifications include projections of the student enrollment, the extent of community services, growth in the varieties of service, growth of materials collections, support of varying modes of instruction, staff needs, and the impact of curricular development and technological advances.

4. *Facilities of Learning Resources Units should be located conveniently for use by both students and instructional staff.*

Flexibility is essential to meet advances in technology and changes in instructional requirements. Service areas within the Learning Resources Unit are grouped to aid the user and to permit the staff to perform duties effectively and efficiently.

Learning Resources services for administration, acquisition, and cataloging should be centralized for more efficient operation. Planning should provide for convenient locations of facilities for storing and using equipment and materials close to the learning spaces or central to student traffic flow in which they are to be used. Where existing facilities will not permit this arrangement, an effort should be made to reduce confusion and frustration by making clear to the user the specific function of each facility.

The number of users varies in all units from peak periods when crowded conditions make service difficult to times when few students are present. Physical arrangements should make continued service with minimal staff possible during quiet times and at the same time provide for augmented service at other periods.

Services provided are dependent upon staff, whose efficiency is in turn dependent upon adequate office, workroom and storage space. The production facility should provide for consultation and demonstration space. It should be equipped to permit the demonstrating and previewing of all components of an instructional system. A staff conference room, apart from the administrative head's office, is desirable in all but the smallest institutions.

5. *The physical facilities provide a wide variety of learning and study situations.*

Students require various types of facilities for learning and study. Some require programmed learning equipment; others learn best by use of isolated individual study areas. In some circumstances they need to study together as a group or relax in comfortable lounge chairs. Proper arrangement and sufficient space for utilization of instructional equipment and materials should be provided for individualized instruction, browsing, and media production.

6. *The physical facilities are attractive, comfortable, and designed to encourage use by students.*

Attractive and well-planned areas encourage student utilization. Air conditioning and comfortable heating, proper lighting, acoustical treatment, regular custodial care, prompt maintenance of equipment, and regular and systematic repair of damages are necessary. Attention to the needs of the handicapped must be met in accordance with legal requirements.

7. *Space requirements, physical arrangements, and construction provide for full utilization of specialized equipment.*

Specialized facilities are necessary for certain types of equipment. For example, computer services, listening and viewing equipment, media production, and use of other types of electronic equipment require special consideration in terms of electrical connections, cables, conduits, lights, fire protection, security, and other factors which affect service.

C. *Instructional Equipment*

1. *Necessary instructional equipment is available at the proper time and place to meet institutional and instructional objectives.*

Centralized control of inventory and distribution of all equipment is necessary. A thorough and continual evaluation is desirable to ensure that enough of the appropriate equipment is available.

2. *Classroom and Learning Resources Program use of equipment is managed in the most effective manner to minimize operational mishaps and insure effective utilization.*

Assistance from Learning Resources staff is available as a regular service when needed and for the maintenance of equipment. Except for more complex equipment, the instructor and student should be responsible for the operation of the equipment.

3. *Learning Resources and instructional equipment are selected and purchased on the basis of specific criteria.* (See Section III.)

D. *Materials*

1. *Materials are selected, acquired, designed, or produced on the basis of institutional and instructional objectives, developed by the faculty, students, and administration in cooperation with Learning Resources.*

A written statement regarding acquisition and production of learning materials has such an important and pervasive effect upon the instructional program and the services of the Learning Resources Program that all segments of the academic community should be involved in its development. The statement should be readily available in an official publication.

Learning Resources Programs provide materials presenting all sides of controversial issues. The position of the American Library Association, and comparable associations, on the subject of censorship is firmly adhered to.

2. *Materials may be acquired and made available from a variety of sources.*

In an effort to meet the needs of the instructional process and cultural enrichment, it will be necessary to acquire materials through:

a. purchase of commercially available materials;

b. lease or rental of materials where purchase is neither possible or practical in terms of cost, utilization, or type;

c. loan through free loan agencies;

d. acquisition of materials as gifts;

e. design and production of materials not readily available.

3. *Materials must be accessible to authorized individuals.*

Although there is no uniformly accepted system to make all resources available, the materials must be properly organized and the necessary staff, facilities, and hardware provided. Highly sophisticated systems for retrieving, manipulating and displaying information might be necessary.

4. *Final management decision as to the order in which materials are to be purchased or produced is the responsibility of the chief administrator or delegated subordinate.*

Within the established framework of the written statement on acquisition and production, and the budgetary restraints, the final management decision and priority judgment must be the responsibility of the chief administrator and duly designated subordinates.

5. *Representative works of high caliber which might arouse intellectual curiosity, counteract parochialism, help to develop critical thinking and cultural appreciation, or stimulate use of the resources for continuing education and personal development are included in the collection even though they do not presently meet direct curricular needs.*

One function of higher education is to develop adult citizens intellectually capable of taking their places in a changing society. Provision of materials beyond curricular needs is essential for this goal.

6. *Materials reflect ages, cultural backgrounds, intellectual levels, developmental needs, and career goals represented in the student body.*

Two-year college students represent all strata of community and national life. To meet their needs, the collection must contain materials of all kinds and at all levels. Those students who require basic remedial materials, those who seek vocational and technical training or retraining, those who seek an understanding of their culture, and those who are utilizing their retirement years for personal stimulation should each find the materials which can serve their interests and solve their problems. Special care is taken to include representative materials related to the needs of minorities as well as materials reflecting divergent social, religious, or political viewpoints.

7. *A broad policy is developed concerning gifts to a Learning Resources Program.*

Generally, gifts are accepted only when they add strength to the collection and impose no significant limitations on housing, handling, or disposition of duplicate, damaged, or undesirable items. It is recognized that gifts frequently require more time to screen, organize, catalog, and process than new materials. Storage space and staff time requirements must be considered in accepting gift materials. In acknowledgment of gifts, attention should be called to government recognition of such contributions for tax purposes, as well as to the impropriety of any appraisal by the recipient of a donation.

8. *In local reproduction of materials for instructional use, care is taken to comply with copyright regulations.*

Laws restrict the copying of many items without permission. Procedures and guidelines must be established regarding reproduction of copyrighted materials and made easily accessible.

9. *The reference collection includes a wide selection of significant subject and general bibliographies, authoritative lists, periodical indexes, and standard reference works in all fields of knowledge.*

Every two-year college requires extensive bibliographical materials for use in locating and verifying items for purchase, rental, or borrowing, for providing for subject needs of users, and for evaluating the collection.

10. *Newspapers with various geographical, political, and social points of view on national and state issues are represented in the collection.*

Newspapers should reflect community, national, and worldwide points of view. Back files of several newspapers are retained in print or microform.

11. *Government documents are required as significant sources of information.*

Some two-year colleges which are document depositories receive government publications as a matter of course. All Learning Resources Programs should acquire regularly such publications.

12. *Files of pamphlets and other ephemeral materials are maintained.*

An effective and up-to-date pamphlet file is a strong resource in any college. Included are vocational and ephemeral materials developed through systematic acquisition of new materials, including subscriptions to pamphlet services and requests for free materials. References in the catalog to subjects contained in pamphlet files are desirable in providing the fullest access to the materials. Periodic weeding of the collection is essential.

Manufacturers' and publishers' catalogs and brochures which describe new materials and equipment are needed to supplement published lists and to provide up-to-date information.

13. *A collection of recorded and other materials should be available for individual use as well as for meeting instructional needs.*
14. *Policy or procedures for the conservation of materials, deletion, and weeding the collection of obsolete materials should be developed as part of an ongoing procedure.*

The materials in the collection should be examined regularly to eliminate obsolete items, unnecessary duplicates, and worn-out materials. Procedures regarding deletion need to be explicit for weeding and disposing of such materials. Prompt attention must be given to damaged materials so that repairs and replacement (including rebinding of printed materials or replacement of portions of projected or recorded materials) are handled systematically, along with prompt action to replace important items, including those discovered to be missing.

15. *The Learning Resources Unit functions as an archive for historical information and documents concerning the college itself.*

An effort should be made to locate, organize, and house institutional archives to the extent defined by the administration.

V. SERVICES

A. *Users of Learning Resources have the right to expect:*

1. That facilities, materials, and services are available and accessible to meet demonstrated instructional needs for their use regardless of location;
2. That an atmosphere be provided which allows sensitive and responsive attention to their requirements;
3. That professional staff be readily available for interpretation of materials and services and for consultation on instructional development;
4. That physical facilities be properly maintained to make use comfortable and orderly;
5. That requests for scheduling, circulation, distribution, and utilization of materials and related equipment be handled expeditiously;
6. That acquisition, production, and organization of materials meet educational, cultural, and personal needs.
7. If an institution is conducting classes in off-campus locations, careful planning and funding must be provided to ensure that equal services are available to those programs.

VI. INTERAGENCY COOPERATIVE ACTIVITIES

A. *Cooperative arrangements for sharing of resources are developed with other institutions and agencies in the community, region, state, and nation.*

To provide the best possible service to the students and faculty in the two-year college, close relationships with other local institutions and agencies and with institutions of higher education in the area are essential. Through consortia, media cooperatives, and loan arrangements, institutions can share resources. The college may need to make arrangements so that its students may use the area facilities and resources. When an undue burden is placed on a neighboring institution, financial subsidy may be appropriate.

B. *The institution is willing to consider participation in cooperative projects, such as shared cataloging, computer use, and other services which may be mutually beneficial to all participants.*

By cooperative planning much expense and wasteful duplication can be avoided in the community and region. Learning Resources personnel and institutional administrators need to be alert to cooperative activities of all kinds and to be willing to explore the possibilities of participation for their own institution.

C. *Responsibility for the collection and preservation of community history and for the accumulation of other local and statistical data is shared with other institutions and is coordinated with them.* ■■

Statement on Quantitative Standards for Two-Year Learning Resources Programs

Foreword

The following statement on quantitative standards for two-year college learning resources programs has been prepared by the Ad Hoc Subcommittee to Develop Quantitative Standards for the "Guidelines for Two-Year College Learning Resources Programs." A draft of the statement appeared in the March 1979 issue of *College & Research Libraries News*.

In June 1979 the Ad Hoc Subcommittee revised this draft. At the ALA Annual Meeting in June 1979, the ACRL Board voted to ratify the revised statement. "Statement on Quantitative Standards for Two-Year Learning Resources Programs" is hereby published in its final form for the information of ACRL members.

Introduction

When the "Guidelines for Two-Year College Learning Resources Programs"* was completed in 1972, it was planned that a supplementary statement of quantitative standards should be developed. This document is the intended supplement, designed to meet the recurring requests for suggested quantitative figures for help in planning and evaluating programs. No absolutes are presented here; too many variables must be considered for this to be possible. In addition, although extensive use has been made of existing statistics when these were appropriate,† no conclusive research provides quantitative measurements of some factors. In such cases the professional judgment and extensive experience of the members of the committee have been the basis for the recommendations.

*American Association of Community and Junior Colleges—Association for Educational Communications and Technology—American Library Association, "Guidelines for Two-Year College Learning Resources Programs," *Audiovisual Instruction*, XVIII, p.50-61 (Jan. 1973); *College & Research Libraries News*, XXXIII, p.305-15 (Dec. 1972).

†For example, extensive computer analysis was made of the 1975 HEGIS statistics, which had the only comprehensive coverage of audiovisual holdings. These statistics were analyzed by FTE, by types of materials, and by other factors. The quartiles developed have been used extensively by the committee. Stanley V. Smith, *Library Statistics of Colleges and Universities: Fall 1975 Institutional Data* (U.S. Dept. of Health, Education and Welfare, National Center for Education Statistics, 1977).

Adherence to every single element in the Learning Resources Program (as defined in the "Guidelines") is not considered essential in this document. For example, collection size is viewed as relating not to book holdings alone or to audiovisual holdings alone but rather to total bibliographical unit equivalents (as defined in section on collections).

The significant variable accepted for most elements is enrollment expressed as full-time equivalent (FTE) students. The tables reflect from under 1,000 FTE to the largest enrollments for a single Learning Resources Program. Should the total enrollment be more than twice the FTE, collection, staff, and space requirements will exceed the quantities in the tables. Levels of attainment of Learning Resources Programs will vary. Two levels are addressed in this document in each enrollment bracket: "minimal" (indicated in the tables by *M*) and "good" (indicated by *G*). A program consistently below the *M* level for its size is probably not able to provide services needed. A program consistently above the upper, or G level, will usually be found to have the capability of providing outstanding services.

It cannot be expected that these quantitative standards will remain constant. To reflect changes in two-year colleges, results of additional research, new technological and professional developments, experience in the use of this statement, and changes in the economic and educational conditions in the nation, it is recommended that a review committee be appointed three years from the date of initial adoption and at three-year intervals thereafter.

Staff

Staff components are defined in the "Guidelines." The positions in table 1, which include the director, are full-time equivalents for staff working thirty-five to forty hours a week for twelve months a year, including vacations and holidays, in a Learning Resources Unit in which most processing occurs on campus. Staff in a central unit, such as a processing center for a multicampus district, should be in proportion to the services rendered each campus.

Staffing of branches, extension centers, commercial level production facilities, computer operations, printing services, extensive learning or developmental laboratories, bookstore operations, or on-the-air broadcasting are not included in the table. Most institutions will need to modify the

TABLE 1

STAFF

Full-Time Equivalent Enrollment	Level	Professional	Support
Under 1,000	M	2	4
	G	4	6
1,000–3,000	M	2.5	5
	G	4	10
3,000–5,000	M	3.5	9
	G	6	18
5,000–7,000	M	6	15
	G	8	24
Additional for each 1,000 FTE over 7,000	M	.5	1
	G	1	3

staffing pattern to include such factors as longer or shorter workweeks and annual contracts.

BUDGET

Budget formulas in a true sense are not possible in two-year colleges because of wide variances in practice from institution to institution. For example, film rentals may be charged to departmental budgets, and staff fringe benefits may or may not be included in the budget for Learning Resources Programs. In addition to these, various other services, such as learning or developmental laboratories, which are definitely part of such programs, will not always be so charged in the institutional budgets.

The formulas are further complicated where there are centralized services, satellite operations, and continuing education responsibilities, so that an absolute formula is not possible without examining all elements of staff, materials, services, and the delineations listed in IIIC of the "Guidelines" at each campus.

Experience indicates, however, that a fully developed Learning Resources Program will usually require from 7 to 12 percent of the educational and general budget of the institution, whether these are separately identified as learning resources or diffused in a multiple number of accounts.

COLLECTION SIZE

Size of the collection available on any two-year college campus is best expressed as "bibliographical unit equivalents." Where a multicampus district maintains some materials centrally, these holdings should be distributed for statistical purposes proportional to use by the various campuses.

Bibliographical unit equivalents (BUE) consist of written, recorded, or other materials. Each item in the following three groups is one BUE.

Written Materials

1. One cataloged bound volume.
2. One periodical volume.
3. One cataloged document.
4. One reel of microfilm.
5. One cataloged microfiche.
6. Five uncataloged microfiche.
7. Five microcards.
8. One cataloged musical work.
9. One periodical currently received.

Recorded Materials

10. One videocassette or videotape reel.
11. One reel of 16mm motion picture film.
12. One cataloged 8mm loop film.
13. One cataloged 35mm slide program.
14. One cataloged set of transparencies.
15. One cataloged slide set or filmstrip.
16. Fifty cataloged 2 x 2 slides, not in sets.
17. One cataloged sound recording (disc, reel, or cassette).
18. Five films rented or borrowed during an academic year.

Other Materials

19. One cataloged map, chart, art print, or photograph.
20. One cataloged kit.
21. One cataloged item of realia, model, or art object.
22. Any other comparable cataloged item(s).

Table 2 shows the total number of BUEs used to measure the collection. Normally, written materials should constitute at least 70 percent of the BUEs. All other proportions of the totals may be adapted to the Learning Resources Program of the institution. Flexibility in determining the informational needs of the program then makes it possible to choose to purchase either a book or an audiovisual item, a periodical subscription, or any other materials. No two-year college should be without some BUEs in each of the five categories used in table 2. Technical institutes with extremely specialized programs may reduce the total BUE requirements as much as 40 percent.

ANNUAL ACCESSIONS

If the materials are to meet the instructional needs of the institution served, continued acquisitions accompanied by continued weeding are needed even where holdings exceed recommendations. New materials are needed for presentation of new information and new interpretations or the collection becomes dated and decreases in educational value. New courses added to the curriculum and new instructional programs require new materials to meet classroom and individual needs of students. As enrollment increases there is need for more duplication and for broader approaches to topics already represented in the collection.

Five percent of the collection size should be the minimum annual acquisition for each Learning Resources Program. This percentage does not include replacements of lost or stolen items or materials to support new courses or curricula, which should be additional.

TABLE 2

Collection Size

FTE Enrollment	Level	Written Materials: Periodical Subscriptions	Written Materials: Other Written Materials	Recorded Materials: Motion Pictures & Videotapes	Recorded Materials: Other Recorded Materials	Other Materials	BUE Collection Size Totals
Under	M	200	20,000	15	350	50	20,615
1,000	G	300	30,000	125	1,350	350	32,125
1,000–	M	300	30,000	125	1,350	350	32,125
3,000	G	500	50,000	350	3,200	1,200	55,250
3,000–	M	500	50,000	350	3,200	1,200	55,250
5,000	G	700	70,000	700	5,350	2,350	79,100
5,000–	M	700	70,000	700	5,350	2,350	79,100
7,000	G	800	85,000	1,250	8,500	4,500	100,100
Additional	M	5	6,000	13	10	5	6,133
each 1,000 FTE over 7,000	G	30	12,000	150	405	305	12,890

TABLE 3

Space Requirements

Full-Time Equivalent Enrollment	Print Materials and Services: Minimum	Print Materials and Services: Maximum	Audiovisual Materials and Services: Minimum	Audiovisual Materials and Services: Maximum	Related Instructional Services	Total Assignable Square Feet
1,667	7,500	9,250	5,000	6,750	750	15,000
2,500	9,503	13,055	5,000	8,552	950	19,005
5,000	15,495	21,463	7,748	13,946	1,559	30,990
8,333	23,000	32,200	11,500	20,700	2,300	46,000
10,834	28,503	39,904	14,251	25,652	2,850	57,005
14,167	35,488	49,683	17,744	31,939	3,549	70,975
16,667	40,650	56,910	20,325	36,585	4,065	81,000

Space Requirements

Space standards for two-year colleges have already been developed by the Learning Resources Association of California Community Colleges and should be utilized for permanent facilities to be in use for ten or more years. Their *Facilities Guidelines*,‡ if adjusted to FTE by use of the formula provided, will serve as a satisfactory standard.

Table 3 has been adapted from the *Facilities Guidelines* using absolute FTE to allow easy comparison when that publication is not available. The premises upon which the original was based deserve more attention than is possible in these standards.

To be added to the total square feet in table 3 is any additional space needed for related instructional services for individualized instruction, such as learning laboratories, study skills center, language laboratories, etc. Also to be added are internal offices, office service areas (file rooms, vaults, duplicating rooms, internal corridors, office supply rooms, etc.), office-related conference rooms and conference room services (kitchenettes, sound equipment storage, etc.), internal classrooms and laboratories; and nonassignable space (janitor's closets, stairways, public corridors, elevators, toilets, and building utility and operational facilities).

‡Learning Resources Association of the California Community Colleges, *Facilities Guidelines for Learning Resources Centers: Print, Non-print, Related Instructional Services* (P.O. Box 246, Suisun City, CA 94585, 1978), $25.

Equipment for Distribution

There is need for sufficient equipment for distribution to classrooms beyond equipment necessary for individual utilization of audiovisuals in the learning centers. Recommendations are limited to major types of equipment. Opaque projectors should be available even in minimal programs; quantity will depend upon utilization. Overhead projectors should be available in all classrooms. Recommendations in table 4 are for classroom equipment distribution only and assume a replacement schedule not longer than five years.

Quantitative formulas for some equipment are inherent in use. In a laboratory situation, type and quantity of equipment will depend upon what the course or program is. Permanent sound and projection equipment will be installed in large lecture halls. All classrooms will have per-

TABLE 4

EQUIPMENT FOR DISTRIBUTION

Users per Year	16mm Projector	Super 8mm Projector	Videocassette Player	Slide Projector	Audiocassette Player	Record Player
1–100	2–9	2–9.	2–9	2–24	2–49	2–9
101–1,000	10–24	10–24	10–24	25–49	50–99	10–24
1,001–3,000	25–44	15–19	25–32	50–64	100–174	25–35
3,001–5,000	45–49	20–24	33–49	65–99	175–249	36–49
5,000+	50+	25+	50+	100+	250+	50+

manently installed projection screens and room-darkening drapes or shades and will have connections and outlets for closed-circuit television where it exists

In determining the number of pieces of equipment, a reasonable distribution of demand is assumed, i.e., that all use will not be concentrated on a peak period of either the days or the academic year. Random access or broadcast delivery systems will also affect the needs for equipment.

PRODUCTION

All Learning Resources Programs should provide some production capability according to the needs and requirements of the curricula, the availability of commercial materials, and the capability of the delivery system. Production, except where part of an instructional program or meeting a specific institutional need, is not an end in itself. Neither is it related to institutional size.

Basic production capability for all campuses consists of minimal equipment items for:

Still photography (1 35mm camera and arrangements for developing film elsewhere).

Ability to make and duplicate sound recordings.

Sign production.

Graphics layout and lettering.

Laminating and dry-mounting.

Ability to make overhead transparencies.

Simple illustrations.

Videoplaying and duplication.

One camera videotaping and videodubbing.

Intermediate production capability consists of all elements above and in addition equipment items for:

Photographic black-and-white printing and processing.

Ability to edit sound recordings.

Two-camera video production.

Advanced production when justified consists of all above and in addition equipment items for:

Simple studio videoproduction in color.

Simple studio for sound recording and editing.

Optional production (justifiable only when needed for programs for cooperative distribution or highly sophisticated institutional needs) in addition consists of:

Color television directing, production, and editing.

16mm motion picture directing, production, and editing.

Color photographic developing and processing.

ASSOCIATION OF COLLEGE AND RESEARCH LIBRARIES
A DIVISION OF THE
AMERICAN LIBRARY ASSOCIATION
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STATEMENT ON COLLECTIVE BARGAINING

Approved as policy by the Board of Directors of the Association of College and Research Libraries, a division of the American Library Association, on July 3, 1975.

> The policy of the Association of College and Research Libraries is that academic librarians be included with their faculty colleagues in units for collective bargaining and that such units should be guided by the Standards for Faculty Status for College and University Librarians and the Joint Statement on Faculty Status of College and University Librarians.

Joint Statement on Access to Original Research Materials

FOREWORD

The following statement on access to original research materials was developed jointly by the Committee on Manuscripts Collections of the Rare Books and Manuscripts Section of the Association of College and Research Libraries (ACRL) and by the Committee on Reference and Access Policies of the Society of American Archivists. It supersedes and replaces the 1976 ACRL "Statement on Access to Original Research Materials in Libraries, Archives, and Manuscript Repositories" (*College & Research Libraries News*, November 1976, p.272–273) as well as the 1974 "Standards for Access to Research Materials in Archival and Manuscript Repositories" (*The American Archivist*, January 1974, p.153–154).

At the ALA Annual Meeting in June 1979, the ACRL Board voted to adopt the statement. The statement appears in the April 1979 issue of *College & Research Libraries News*.

AMERICAN LIBRARY ASSOCIATION—
SOCIETY OF AMERICAN ARCHIVISTS
JOINT STATEMENT ON ACCESS
TO ORIGINAL RESEARCH MATERIALS
IN LIBRARIES, ARCHIVES,
AND MANUSCRIPT REPOSITORIES

1. It is the responsibility of a library, archives, or manuscript repository to make available original research materials in its possession on equal terms of access. Since the accessibility of material depends on knowing of its existence, it is the responsibility of a repository to inform researchers of the collections and archival groups in its custody. This may be accomplished through a card catalog, inventories and other internal finding aids, published guides, or reports to the National Union Catalog of Manuscript Collections, where appropriate, and the freely offered assistance of staff members, who, however, should not be expected to engage in extended research.
2. To protect and insure the continued accessibility of the material in its custody, the repository may impose several conditions which it should publish or otherwise make known to users.
   a. The repository may limit the use of fragile or unusually valuable materials, so long as suitable reproductions are made available for the use of all researchers.
   b. All materials must be used in accordance with the rules of and under the supervision of the repository. Each repository should publish and furnish to potential researchers its rules governing access and use. Such rules must be equally applied and enforced.
   c. The repository may refuse access to unprocessed materials, so long as such refusal is applied to all researchers.
   d. Normally, a repository will not send research materials for use outside its building or jurisdiction. Under special circumstances a collection or a portion of it may be loaned or placed on deposit with another institution.
   e. The repository may refuse access to an individual researcher who has demonstrated such carelessness or deliberate destructiveness as to endanger the safety of the material.
   f. As a protection to its holdings, a repository may reasonably require acceptable identification of persons wishing to use its materials, as well as a signature indicating they have read a statement defining the policies and regulations of the repository.
3. Each repository should publish or otherwise make available to researchers a suggested form of citation crediting the repository and identifying items within its holdings for later reference. Citations to copies of materials in other repositories should include the location of the originals, if known.
4. Whenever possible a repository should inform a researcher about known copyrighted material, the owner or owners of the copyrights, and the researcher's obligations with regard to such material.
5. A repository should not deny access to materials to any person or persons, nor grant privileged or exclusive use of materials to any person or persons, nor conceal the existence of any body of material from any researcher, unless required to do so by law, donor, or purchase stipulations.
6. A repository should, whenever possible, inform a researcher of parallel research by other individuals using the same materials. With the written acquiescence of those other individuals, a repository may supply their names upon request.
7. Repositories are committed to preserving manuscript and archival materials and to making them available for research as soon as possible. At the same time, it is recognized that every repository has certain obligations to guard against unwarranted invasion of personal privacy and to protect confidentiality in its holdings in accordance with law and that

every private donor has the right to impose reasonable restrictions upon his or her papers to protect privacy or confidentiality for a reasonable period of time.

a. It is the responsibility of the repository to inform researchers of the restrictions which apply to individual collections or archival groups.

b. The repository should discourage donors from imposing unreasonable restrictions and should encourage a specific time limitation on such restrictions as are imposed.

c. The repository should periodically reevaluate restricted material and work toward the removal of restrictions when they are no longer required.

8. A repository should not charge fees for making available the materials in its holdings. However, reasonable fees may be charged for the copying of material or for the provision of special services or facilities not provided to all researchers.

Guidelines on Manuscripts and Archives

Adopted by the Association of College and Research Libraries, a division of the American Library Association

Association of College and Research Libraries
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1977

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Introduction

It must have been in 1970 that the Committee on Manuscripts Collections of the Rare Books and Manuscripts Section of the Association of College and Research Libraries discussed the desirability of producing a series of statements which would focus upon some of the recurring problems that plague librarians and archivists. The committee believed that it was possible to review quickly a number of these problems, to identify specific points where disagreement existed, to come to general agreement as to the most reasonable, most logical resolution of the points at issue, and then to present a clear and concise statement which might well serve as a guideline for those facing similar problems.

The committee, in its innocence, had no idea of the magnitude of the job because of the wide divergence of opinions held by librarians and archivists facing identical problems. I suspect that, had it known how difficult, complex, time-consuming this task would be, it never would have attempted it at all. But the committee plunged right in and decided to prepare statements on: (1) appraisal of gifts; (2) legal title; (3) access to original research materials; (4) reproduction of manuscripts for noncommercial purposes; and (5) reproduction of manuscripts for commercial purposes. The committee further decided to prepare a "universal" gift form, a form that with minimal alteration would be suitable for use by any library.

Robert Stocking, of the Kennedy Library, was chairman of the committee when the work began, and when his term expired I followed him in that office. Howard Applegate, then at Syracuse University and now at the Balch Institute, did the initial drafting of many of the statements. Robert Adelsperger, Head of Special Collections at the University of Illinois at Chicago Circle, did the first draft of the "universal" gift form. After a draft had been prepared, it was sent to each member of the committee and studied word by word, comma by comma. A redraft was then circulated and reviewed until all agreed upon a single version.

The committee was in touch with the Society of American Archivists and with the Association of Research Libraries, since both of these organizations were interested in developing guidelines for these and related topics. In most cases we were in substantial agreement, but in the end it was not possible to reconcile fully all divergent points of view into a single statement that all would adopt.

After the lengthy process of approving a statement was finished, the committee brought the statement to the Board of Directors of the Association of College and Research Libraries for permission to publish it as a draft in *College & Research Libraries News*, with a request for written comments and suggestions. The committee reviewed each written comment and then sent the statement in final form to the ACRL Board for approval.

The end product of the committee's work follows this brief introduction. The committee plans to review each of these statements on a regular basis, to be certain that they are kept current.

Your comments and criticisms are invited.

Clyde C. Walton
Chairman (1973/1976)
Committee on Manuscripts Collections
Rare Books and Manuscripts Section
Association of College and Research Libraries

Statement on Appraisal of Gifts

Developed by the Committee on Manuscripts Collections of the Rare Books and Manuscripts Section of the Association of College and Research Libraries. Approved as policy by the ACRL Board of Directors in February 1973. This statement supersedes and replaces the 1960 ACRL policy on appraisal (published in Antiquarian Bookman, *v.26, December 19, 1960, p.2205).*

1. The appraisal of a gift to a library for tax purposes generally is the responsibility of the donor since it is the donor who benefits from the tax deduction. Generally, the cost of the appraisal should be borne by the donor.

2. The library should at all times protect the interests of its donors as best it can and should suggest the desirability of appraisals whenever such a suggestion would be in order.

3. To protect both its donors and itself, the library, as an interested party, ordinarily should not appraise gifts made to it. It is recognized, however, that on occasion the library may wish to appraise small gifts, since many of them are not worth the time and expense an outside appraisal requires. Generally, however, the library will limit its assistance to the donor to: (a) providing him with information such as auction records and dealers' catalogs; (b) suggestions of appropriate professional appraisers who might be consulted; (c) administrative and processing services which would assist the appraiser in making an accurate evaluation.

4. The acceptance of a gift which has been appraised by a third, and disinterested party, does not in any way imply an endorsement of the appraisal by the library.

5. An archivist, curator, or librarian, if he is conscious that as an expert he may have to prove his competence in court, may properly act as an independent appraiser of library materials. He should not in any way suggest that his appraisal is endorsed by his library (such as by the use of the library's letterhead), nor should he ordinarily act in this fashion (except when handling small gifts) if his institution is to receive the donation. ■■

Published in the March 1973 issue of College & Research Libraries News, *a publication of the Association of College and Research Libraries.*

Statement on Legal Title

Developed by the Committee on Manuscripts Collections of the Rare Books and Manuscripts Section of the Association of College and Research Libraries. Approved as policy by the ACRL Board of Directors in February 1973.

1. Every library should acquire proper and legal title to all gifts of books, manuscripts, and other materials, which have significant monetary value. It is recognized, however, (a) that it is often impossible to acquire title to collections many years after they have been received by the library; (b) that frequently, where small collections of materials are involved, the donor may not be certain exactly where title rests; and (c) that when single items or very small collections are involved, donors often do not wish to become involved in library gift procedures.

2. Many libraries still accept temporary deposits. As a general principle, such gifts ordinarily should not be accepted unless (a) the library has reason to believe that a temporary deposit is the only way in which the material is likely to be preserved; or (b) the library has reason to believe that a temporary deposit will in time be changed to a permanent gift; or (c) except where ownership of corporate records is governed by state and/or federal regulations.

3. Ordinarily transfer of legal title by gift is accomplished by a properly executed form, variously described as "Instrument of Gift" or "Certificate of Gift." This form should include the following: (a) name and address of the donor; (b) description of the gift; (c) statement of transfer of legal title, and where possible and applicable, copyrights and literary rights; (d) any restrictions; (e) directions concerning disposal of unwanted items.

The form must be (1) signed and dated by the donor and (2) witnessed and dated by another party who is neither related to the donor nor employed by the institution receiving the gift.

An additional evidence of proof would be the notarization of the donor's and witnesses' signatures. ■■

Published in the March 1973 issue of College & Research Libraries News, *a publication of the Association of College and Research Libraries.*

Statement on the Reproduction of Manuscripts and Archives for Noncommercial Purposes

Developed by the Committee on Manuscripts Collections of the Rare Books and Manuscripts Section of the Association of College and Research Libraries. Approved as policy by the ACRL Board of Directors in July 1976. This statement supersedes and replaces the 1974 ACRL "Statement on the Reproduction of Manuscripts and Archives for Noncommercial Purposes" (published in College & Research Libraries News, *May 1974, p.115).*

1. It is the responsibility of a library, archives, or manuscript repository within the limits of its resources to assist qualified researchers, as defined by the respective institutions, by making or having made reproductions of any material in its possession, subject to certain conditions.
   Manuscript and archival materials may be reproduced if:
   a. the condition of said materials will permit such reproduction without damage;
   b. the said materials have no gift, purchase, or legal restrictions on reproductions;
   c. the holders of appropriate common law or statutory rights have given their written approval for said reproductions.

2a. In the interest of making research collections more generally available, the orderly copying of entire manuscript collections together with appropriate guides, within the provisions of law, is to be encouraged. Also in the interest of making manuscript items available to researchers, the custom and practice among libraries of making one "fair use" copy of a manuscript that is not otherwise restricted is to be encouraged to the fullest extent permitted by law.

2b. All conditions relating to use of manuscript and archival material shall apply to the use of the reproductions.

3. A repository has the right to refuse to furnish copies or do extended research in response to requests which require an unreasonable amount of time with respect to the priorities of the repository.
4. The price of reproductions shall be set by the repository, which should endeavor to keep charges to a minimum.
5. Copies should be made for the use of individual researchers and educational institutions as follows:
   a. Repositories which permit their manuscript and archival collections to be reproduced in whole or part must specify before the copies are made what restrictions, if any, have been placed on the use of the copies. Purchasers must abide by these restrictions.
   b. All reproductions must identify the source of the original manuscript collection or archival record group.
   c. Copies of reproductions should not be made for a third party by the owner of a reproduction without the written permission of the repository owning the originals.
6. In order to insure (1) that proper credit is given to institutions and (2) that references to original materials are maintained, the repository must inform researchers that they are expected to cite the source of original manuscripts and archives in their published work.
7. Manuscripts, or reproductions of them, cannot be used for publication without due regard for copyright and other legal restrictions. Researchers assume legal responsibility for observing these rights. A repository should inform researchers concerning known retention of literary rights, as well as all other known restrictions. ■■

Published in the November 1976 issue of College & Research Libraries News, *a publication of the Association of College and Research Libraries.*

Statement on the Reproduction of Manuscripts and Archives for Commercial Purposes

Developed by the Committee on Manuscripts Collections of the Rare Books and Manuscripts Section of the Association of College and Research Libraries. Approved as policy by the ACRL Board of Directors in January 1977.

1. It is the responsibility of libraries, archives, or manuscript repositories to facilitate access to original collections by permitting commercial publishing companies to reproduce, reprint, or otherwise publish certain collections in their possession, unless:
   a. the physical condition of the originals prohibits reproduction;
   b. there are legal restrictions which prohibit or limit reproduction of the originals.
2. No repository shall be expected to reproduce a complete manuscript collection or archival record group.
3. The commercial publisher shall agree to the following conditions:
   a. Permission. (1) The publisher shall be responsible for compliance with all copyright and other legal requirements applicable to reproduction of the material borrowed and will obtain (and will deliver to the repository a duplicate executed counterpart of) all such consents, licenses, and other instruments as may be necessary for such compliance. (2) The publisher shall agree to indemnify and hold harmless the repository, its officers and employees, any and all of them, against and from any liability, loss, cost or expense whatsoever, including attorney's fees, which the repository, its officers and employees, any and all of them, may at any time incur arising out of or relating to the reproduction of any of its manuscripts or other original material.
   b. Acknowledgment. The publisher shall cause the reproduction of any manuscript collection or archival record group to show that it has been made from an original in the library of the owning repository in the form specified by the repository.
   c. Quality of Reproduction. The publisher shall cause his reproduction to be of a quality satisfactory to the repository from which he has borrowed the originals. A hard copy reproduction should meet current minimal standards for binding and paper as formulated by the Library of Congress and by the Resources and Technical Services Division, a division of the American Library Association. If published on microfilm, the reproductions shall meet the minimum specifications in *Specifications for the Microfilming of Books and Pamphlets in the Library of Congress* (Washington, D.C., Library of Congress, 1973). In addition, the following American national standards, published by the American National Standards Institute, shall be adhered to:
      1. *Specifications for Safety Photographic Film*, ANSI PH1.25–1974.
      2. *Methylene Blue Method for Measuring Thiosulfate and Silver Densitometric Method for Measuring Residual Chemicals in Films, Plates, and Papers*, ANSI PH4.8–1971.
      3. *Specifications for 16mm and 35mm Silver Gelatin Microfilms for Reel Applications*, ANSI PH5.3–1967 (R-1973).
      4. *Practice for Storage of Processed Silver Gelatin Microfilm*, ANSI PH5.4–1970.
      5. *Dimensions for 100-Foot Reels for Processed 16mm and 35mm Microfilm*, ANSI PH5.6–1968 (R1974).
      6. *Microfiche of Documents*, ANSI PH-5.9-1975.
      7. *Microfilm Package Labeling*, ANSI PH5.19-1975.
      8. *Practice for Inspection and Quality Control of First Generation Silver Halide Microfilm*, ANSI PH5.23.
      9. *Operational Procedures for the Production of Microforms*, ANSI PH5.24.
   d. Reproduction. The owning repository shall specify when and where the reproductions are to be made and the conditions under which they will be made.
   e. The Original. (1) The publisher will not permit original manuscripts or other archival materials to suffer physical damage while in his care. Should damage occur, all repairs are to be made by qualified conservators chosen by the owning repository and at the expense of the publisher. (2) If the archival or manuscript

materials are damaged beyond repair, the publisher must return the materials to the owning repository and reimburse the owning repository at the value set by an independent appraiser who is jointly selected and therefore satisfactory to both the publisher and the owning repository. The publisher must pay the appraiser's fee.

f. Royalties. The owning repository shall receive from the publisher (1) an agreed royalty which has been established in advance by legal contract and (2) a sufficient number of copies of the publisher's reproduction for the repository's internal use.

g. Restrictions. The publisher must respect any restrictions placed upon reproductions or copies of original manuscripts or archival materials furnished to him.

h. Pricing. The publisher shall agree to market his reproductions using a nondiscriminating price structure.

4. a. Both the owning repository and the publisher must inform purchasers of reproductions that permission to make extensive direct quotations or to print any reproduction in full must be obtained from the owning repository. Every reproduction must bear a clear statement to this effect.

b. Manuscripts must not be published without due regard for literary property rights (also known as common law rights), personal property rights, libel, and unwarranted invasions of privacy. ■■

Published in the May 1977 issue of College & Research Libraries News, *a publication of the Association of College and Research Libraries.*

Universal Gift Form and Instructions

Developed by the Committee on Manuscripts Collections of the Rare Books and Manuscripts Section of the Association of College and Research Libraries. Approved as policy by the ACRL Board of Directors in January 1975.

Universal Gift Form

[Board of Trustees of the
Anonymous Athenaeum]

I/We hereby give, transfer, and deliver all of my/our right, title and interest in and to the property described below to the [Board of Trustees of the Anonymous Athenaeum] as an unrestricted gift and dedicate to the public without restriction and thereby place in the public domain whatever literary rights I/we may possess to this property.

Dated this ___ day of ______, 19__:

1. ________________________
   Signature
   ____
   Address
2. ________________________
   Signature
   ____
   Address
3. ________________________
   Signature
   ____
   Address

The [Board of Trustees of the Anonymous Athenaeum] hereby accepts and acknowledges as an unrestricted gift to the [Library of the Anonymous Athenaeum] the collection described below and agrees to administer it in accordance with its established policies.

Dated this ___ day of ______, 19__:

Accepted by: ____________________
Signature
____
Title

Description of the collection: __________
____
____
____

General Instructions
For Universal Gift Form

Any deed of gift, or letter, if it incorporates the necessary elements, is a legally recognized document which effectively transfers title for manuscripts or other items from a donor to a receiving institution. Such deed of gift formalizes the transaction and makes explicit the agreement between the parties. Certain elements must be part of any such deed of gift but additional variations are possible. They will depend on the nature of the gift, the desires of the two parties as expressed in the verbal agreement between them, and the need to spell out any unique conditions and/or restrictions placed on the material. The following elements, however, are considered basic: (1) the date of execution, (2) the name of the donor, (3) a description of the items transferred, (4) the signature of the donor, and (5) acceptance of ownership and responsibility by the institution as evidenced by a statement to that effect and an authorized signature.

It must be understood that an intention on the part of the donor to give material, its acceptance by the institution, and the recording of that agreement and transfer in some written document constitute a transfer only of the physical property. Literary rights to the material remain with the party to whom they belong, and this may, or may not, be the donor of the material. It is generally considered desirable at the time of transfer to acquire whatever literary rights the donor possesses, but it is necessary to include a statement covering such transfer in the deed of gift, if this is to be effected. An institution may elect to have those rights transferred to the institution itself or it may include a statement specifically dedicating them to the public.

The question as to whether one should include a place for possible restrictions with regard to access to materials in a form developed to serve as a deed of gift is a knotty one. It is sometimes considered unwise to trigger the imposition of restrictions which might not otherwise occur to a donor. On the other hand, there may be certain situations which suggest, or indeed call for, restrictions, and it would be remiss of a curator not to point this out.

In general, however, the interests of the institution and its patrons will be best served by transferring the material in a manner which provides the widest leeway for the institution in the administering and servicing of the manuscripts. This will usually call for a simple and straightforward deed of gift, and it is that basic form which is suggested here, with the proviso that the institution and the curator must be aware of the range of possible variations.

It should also be pointed out that not only will the requirements vary with different institutions and with each individual gift, but also there may be a considerable variance in local legal requirements, and these will need to be checked. It would seem to be a cardinal rule that an institution or curator should seek some legal advice before instituting and using a form as a deed of gift. It should also be recognized that no form will cover every situation, and it will at times be necessary to draw up a document tailored specifically to the requirements of a particular case.

Although some institutions will include other matters in a deed of gift, there are advantages to keeping the form as relatively brief and uncomplicated as possible. Such matters as (1) the disposition of unwanted material or duplicates, (2) the handling of printed material, (3) the photoreproduction of the material for scholarly use, (4) the handling of publicity, and (5) the mechanism for permission to publish should be handled through correspondence or by other means.

If it is likely that in the future there will be additional material donated which is related to the initial gift, the deed of gift might properly speak to that matter. If restrictions are agreed on between the donor and the recipient and stated in the agreement, there should also be stated a terminal date and an understanding of where the authority for continuation or removal of those restrictions lies in the event of the donor's death.

All of these comments as well as the sample deed of gift refer to situations in which the physical property is being given outright to the institution, whether or not the literary rights in the possession of the donor accompany and are part of the gift. There are, of course, situations in which a donor merely wishes to deposit the material in an institution. In such cases the understanding is usually that outright donation will generally follow, but the curator must be aware that it is in no way inevitable. In such cases the offer should be scrutinized carefully and matters such as the availability of his material for scholarly use, photoreproduction, and publication should be accurately understood between the donor and the institution. An entirely separate agreement of deposit which speaks to the necessary points should be developed and executed in the rare cases where such deposit is acceptable to the institution and outright gift of the material at the time does not seem possible.

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Guidelines for audiovisual services in academic libraries

Prepared by the ACRL Audiovisual Committee

Margaret Ann Johnson, Chair

The final version that was approved by the ALA Standards Committee (January 1988).

These *Guidelines* were developed by the Audiovisual Committee of the Association of College and Research Libraries. They have been extensively revised and supersede the *Guidelines* developed and published by the same committee in 1968 (reprinted 1969).

Committee members include: Peggy Johnson (chair), University of Minnesota, St. Paul; Ronald L. Fingerson, School of Library and Information Science, University of Missouri-Columbia; Charles Forrest, University of Illinois, Champaign-Urbana; Susan Cangl, University of Minnesota; Lee David Jaffe (editor), University of Southern California; Katha Massey, University of Georgia; Richard A. Matzek, Nazareth College of Rochester; Arline M. Rollins, Ohio State University; Mary Jane Scherdin, University of Wisconsin-Whitewater; Janice Woo, Columbia University.

The committee wishes to thank Claire C. Dudley of *Choice* for her assistance in preparing this document.

Foreword

When the last *Guidelines for Audio-Visual Services in Academic Libraries* were published in 1968 the laser was an exotic research instrument with little commercial potential and the personal computer was still five years away from its birth in a garage. The fact that technological change is accelerating, that its direction is hard to predict, and its rate is easy to underestimate are only the more obvious conclusions we can draw from examining the changes that have taken place since 1968.

Technology has transformed so much of the library world. Twenty years ago only audiovisual librarians had to worry about different formats; now all libraries are confronted with the proliferation of media for recording and distributing information. The choice today is even more dramatic now than it was then: master the new technology or surrender the power to determine your own destiny. Audiovisual librarians, because of their experience applying new technology to traditional roles, are among those best able to appreciate and respond to these challenges and opportunities.

The reason for embracing new technology, of course, is to extend our capabilities. The Foreword to the first edition credited audiovisuals with the capability to "offer greater efficiency of presentation, add realism, stimulate interest, clarify communication, and speed comprehension." We can now add to this list the ability to permit repetition and drill, to allow students to observe and critique themselves, to perform otherwise difficult or dangerous exercises through models and simulations and to use large quantities of information.

There also has been a notable change in the role audiovisual resources play on college and university campuses. The 1968 *Guidelines* addressed themselves exclusively to the contributions of audiovisuals to the instructional program. This is a very important but limited role that satisfies only the teaching mission of colleges and universities, ignoring audiovisuals' potential support of research. The tone of that document was adversarial, appropriate to a time when it was still necessary to argue the role of audiovisual materials in higher education.

We are already serving a second generation of media-bred students on college and university campuses. We are well on our way to having a media-conscious faculty. Audiovisual media are familiar, established and expected means of transmitting, receiving and using information.

The role of audiovisual services as instructional tools will continue to grow as the technology provides greater capability, ease of use, access, and integration with other powerful learning technologies. The demands upon campus resources will grow as more media-savvy men and women join faculties.

Support of instruction should not overshadow the growing ability of audiovisual technologies to contribute to academic research. Videotapes and computer diskettes supplement and replace laboratory notebooks. New technologies permit researchers and those that study their work to see, hear and understand new worlds. A dazzling array of electronic recording media are quickly superseding writing as a diary of social and historical events. To serve researchers in all fields, college and university libraries must have strong audiovisual collections and programs.

With technology, new ethical, legal and social issues have arisen. The need for librarians to give special attention to the implications of the new copyright law, especially the rulings on copying broadcasts, has had a profound effect on library services. The promise and sometime disappointment of cable television and the changes in government policy regarding licensing and refranchising will also affect library services.

Librarians and their professional organizations have also changed the way they set goals and measure progress. Use of enumerative measures are giving way to an emphasis on the planning process, which partly explains the use of guidelines rather than standards in the present document. We also encountered a more specific reason in the inability of standards to satisfy the divergent interests, needs and resources represented by the spectrum of academic libraries and by the variety of organizational models of audiovisual services. On the other hand, guidelines may address the broader issues common to all institutions and offer a methodology for building an audiovisual program that fits the institution.

These revised *Guidelines for Audiovisual Services in Academic Libraries* attempt to provide a framework for development. They are not intended as a manual for practitioners. Instead, the goal is to support the development and administration of an increasingly important component of college and university service.

Planning

1. Formulate flexible, long range goals, measurable short range objectives for achieving the goals incrementally, and alternative strategies both for achieving the objectives and for adjusting to the introduction of new technologies.
2. Establish written policies to be incorporated with other library policies.
3. Employ record keeping methods which permit quick retrieval and easy analysis, preferably through electronic data processing, to record and accumulate statistics and generate management reports.
4. Conduct regular use and user studies and continue to investigate currently available media alternatives for meeting the needs of the academic community.
5. Consult and communicate with advisors and decision-makers involved in the research and planning process at all levels in the institution.
6. Recognize and reward individuals who generate and share ideas and initiatives to enhance the program.
7. Encourage receptivity to new technologies via staff education and retraining, such as continuing education and in-service workshops, and through release time and support for meeting professional expenses.

Budget

1. Secure continuing financial support for an audiovisual resources program before the program is implemented. Fund audiovisual services at a level proportionate to the program's role in the instruction and research program of the institution.
2. Provide adequate funding for acquisition, processing, and preservation of materials.
3. Provide adequate funding to ensure an appropriate environment, adequate supplies, new and replacement equipment and maintenance of equipment.
4. Provide adequate funding to meet staffing needs for services, programs and collection organization.

Personnel

Employ qualified professional, technical and support personnel to plan, implement, and evaluate audiovisual programs and services in academic libraries. This requires:

1. People with the capacity and skills to identify needs and respond creatively.

2. Sufficient numbers to attain defined goals and objectives.

3. Classification, status, and salary scales for audiovisual staff that are equivalent to those provided for other library/media employees.

Facilities

1. Integrate library audiovisual facilities design with the media program of the entire institution.

a. Consider campus-wide production, listening and viewing space needs of individual users and groups of users.

b. Coordinate facilities planning with people responsible for non-library media services on campus to avoid unnecessary duplication of expensive facilities while providing for optimal access to services and materials.

2. Design facilities to provide adequate space, security, wiring, and environmental conditions for all presently used technologies and services.

3. Consider the specific responsibilities of the library media center that will dictate the need for specialized rooms and areas, such as production, studio, graphics facilities, and related staff accommodations.

a. The design of public areas should emphasize user ease of access to materials and equipment, ready availability of support staff, adequate lighting, heating, ventilation, air conditioning, and noise control, and appropriate placement in the building.

b. Individual listening and viewing stations and group facilities should have special regard for the comfort of the user and provide optimal conditions for the technology employed.

c. Design production areas for optimum working conditions, providing adequate space and environment to support quality work.

d. Include appropriate shelving and storage facilities for the protection of materials and equipment.

e. Facilities for equipment maintenance and repair are an essential part of library audiovisual facilities design and planning.

4. Anticipate the possibility of changes in specific responsibilities and available technology; flexibility in design is highly desirable.

5. Develop a sign system in audiovisual service areas.

Equipment and supplies

1. Provide equipment and supplies required for the types of audiovisual materials collected and supported and for the services offered.

a. Full-service facilities may supply equipment for formats not held in the collection and for services not provided in-house.

b. Non-circulating collections should be supported with sufficient suitable playback equipment for each format held.

c. Facilities with a production role should have equipment required for quality work.

d. All services must have storage facilities, maintenance equipment and supplies appropriate to the materials in the collection.

2. Select durable, institutional quality equipment and supplies.

Collection development

1. Assign responsibility for selection of audiovisual resources to the designated librarian(s).

2. Write a clear collection development policy statement which specifies formats appropriate to

a. the institution's goals and resources;

b. the intended users;

c. the academic programs supported; and

d. the design of the facilities.

3. Apply the following criteria in selecting material:

a. nature of the curriculum;

b. intended use;

c. faculty and graduate research needs;

d. quality of the item, in both content and form;

e. life expectancy.

4. When appropriate, preview audiovisual materials or consult reviewing sources before purchase.

5. Evaluate the existing collection frequently in order to determine subject areas that need to be strengthened or deemphasized. Collection development (both acquisition and weeding) should occur in the context of institutional objectives.

Acquisition

1. Acquire audiovisual materials through the same channels—approval plans, direct orders, gifts and exchanges—as other library materials.

2. Pursue alternative sources such as independent producers, broadcast agencies, and other institutions and collections as well. Observe current copyright guidelines and policies in all acquisition activities.

3. Give special consideration to materials which can only be obtained or best obtained through temporary acquisition, license or loan.

Cataloging

1. Make audiovisual materials accessible through the same retrieval mechanisms available for other library materials.

2. Catalog audiovisual materials in accordance with current national standards and practices.

3. Provide full subject access in addition to descriptive cataloging.

4. Classify audiovisual materials like other types of materials but assign location or accession designations as determined by organizational and functional considerations.

Collection maintenance

1. Develop circulation policies and procedures

appropriate to the care and handling requirements of the medium.

2. Instruct staff and patrons in the proper handling of materials and operation of equipment.

3. Train staff to perform routine preventive maintenance for materials and equipment.

4. Provide environmental conditions and use storage containers and shelving appropriate for the type of medium.

5. Secure materials and equipment against loss and damage.

6. Develop a program for regular evaluation of the condition of materials and equipment.

Service

Audiovisual services in academic libraries may cover a wide range of activities. Aside from those areas discussed in previous sections (Cataloging, Acquisition, Collection Development, Collection Maintenance), a library's program may also include any or all of the following services:

Production of audiovisual programs and materials;

Evaluation, selection, repair and/or maintenance of equipment;

Loan or in-house access to equipment;

Classroom services;

Circulation and distribution of materials;

Booking and other temporary acquisition of materials;

Facilities scheduling and management;

Technical and bibliographic instruction supporting use of materials;

Reference and consultation.

Selection of services should reflect consideration of an institution's goals and resources applied to a planning process. However, certain fundamental elements should be present in all academic audiovisual programs.

1. Design services to provide ready access to audiovisual facilities, equipment and collection by the best available means.

2. Use professional staff with experience in their respective fields to design and guide services.

3. Provide professional consultative and reference service to support efficient use of the facilities, collection and services.

4. Conduct instructional sessions on use of audiovisual resources.

5. Publicize the availability of the collection and services.

6. Develop a user's guide to the audiovisual center's policies, procedures and rules for using audiovisual facilities, materials and equipment.

7. Provide clear and concise equipment instructions. ■■

Guidelines for Bibliographic Instruction in Academic Libraries

Developed by the Bibliographic Instruction Task Force of the Association of College and Research Libraries. Approved as policy by the ACRL Board of Directors on January 31, 1977.

The college and university library performs a unique and indispensable function in the educational process. It bears the central responsibility for developing the college and university library collections; for extending bibliographic control over these collections; for instructing students formally and informally; and for advising faculty and scholars in the use of these collections.

In order to assist college and university libraries in the planning and evaluation of effective programs to instruct members of the academic community in the identification and use of information resources, the following guidelines for bibliographic instruction in academic libraries are suggested:

The library should:

(1) assess the needs of its academic community for orientation to the library's facilities and services, and for instruction in the use of the library's collections and bibliographic structure;

(2) prepare a written profile of the community's information needs;

(3) develop a written statement of objectives of bibliographic instruction which:

- (a) includes immediate and long-range goals with projected timetables for implementation;
- (b) is directed to specific identified needs within the academic community, and permits various methods of instruction for all segments of the academic community who have a need to use library resources and services;
- (c) outlines methods by which progress toward the attainment of instructional objectives can be measured. Methodology must provide for measures of learning, attitude and cost:

(4) provide continuing financial support for bibliographic instruction,

- (a) clearly identifiable within the library's budget program and statements;
- (b) sufficient to provide the professional and supportive staff, equipment, materials and facilities necessary to attain the delineated objectives.

(5) employ librarians and other qualified staff to plan, implement and evaluate the program,

- (a) inclusive of persons with training in: various academic disciplines, the identification and use of library resources, teaching skills, preparation and use of audiovisual and other instructional materials, preparation and use of evaluative instruments, clerical skills;
- (b) in sufficient numbers necessary to attain the delineated objectives;
- (c) clearly identifiable and of a status similar to persons responsible for planning, implementing and evaluating the other major functions of the library.

(6) provide facilities, equipment and materials

- (a) to accommodate the preparation of instructional materials and the presentation of various modes of instruction (individual, small or large group, lecture, discussion, media, etc.);
- (b) of sufficient size, number and scope to accommodate the attainment of the delineated objectives.

(7) involve the academic community in the formulation of objectives and the evaluation of their attainment.

(8) evaluate regularly the effectiveness of the instructional program, and demonstrate substantial attainment of written objectives. ■■

Copies of these guidelines are available, upon request, from the ACRL Office, 50 E. Huron St., Chicago, IL 60611.

Reprinted from the April 1977 issue of College & Research Libraries News, a publication of the Association of College and Research Libraries.

Standards for University Libraries

Foreword

The following statement of university library standards has been prepared by a joint committee established by the Association of Research Libraries and the Association of College and Research Libraries. A draft of the statement appeared in the April 1978 issue of *College & Research Libraries News*.

In August 1978, the Joint ARL-ACRL Committee on University Library Standards revised this draft. On October 26, 1978, the ARL membership unanimously endorsed the statement as revised. At the ALA Midwinter Meeting in January 1979, the ACRL Board also voted to ratify the revised statement. "Standards for University Libraries" is being published in its final form in this issue of *C&RL News* for the information of ACRL members.

Standards for University Libraries

Prepared by a joint committee of the Association of Research Libraries and the Association of College and Research Libraries, a division of the American Library Association.

Introduction

These standards have been prepared to assist faculty, university administrators, librarians, accrediting agencies, and others in the evaluation and improvement of university library services and resources. These statements are intended to apply only to those institutions of higher education which have been characterized by the Carnegie Commission on Higher Education as "doctoral granting institutions."[1] All of these institutions emphasize graduate study, professional education, and research. Despite these basic similarities, university libraries are also characterized by a high degree of individuality, particularly with respect to policies, programs, responsibilities, and traditions. Hence, these standards are not intended to establish normative prescriptions for uniform application. Rather, they are meant to provide a general framework within which informed judgment can be applied to individual circumstances.

The fundamental assumption of these standards is that the library has a central and critical importance in a university. This importance has been recognized repeatedly by analysts of higher education. In his 1966 report to the American Council on Education, Allan M. Cartter, for example, stated:

"The library is the heart of the university; no other single non-human factor is as closely related to the quality of graduate education. A few universities with poor library resources have achieved considerable strength in several departments, in some cases because laboratory facilities may be more important in a particular field than the library, and in other cases because the universities are located close to other great library collections such as the Library of Congress and the New York Public Library. But institutions that are strong in all areas invariably have major national research libraries."[2]

As with all institutions, universities and their libraries have experienced considerable change over time. Further changes are taking place now, and others clearly lie ahead. Particularly noteworthy is the increasing sense of interdependence and commitment to coordination among universities generally. With regard to university libraries, the following developments are particularly important: the growth of interlibrary cooperation, especially resource sharing; the strengthening and expansion of service programs, such as bibliographic instruction; the increasing importance of recorded information in nonprint formats; the application of automated systems to library operations and the growth of machine-readable data bases; the closer interaction between librarians and faculty and the improved status of librarians within the university; increased stress on the effectiveness and efficiency of operations. A recognition of such trends and their importance is fundamental to these standards.

Recognizing the increasing interdependence of universities in developing and maintaining scholarly resources, these standards are intended to provide guidance in identifying that level of library self-sufficiency which is essential to the health and vigor of a university and its academic programs. The general assumption is that the primary obligation of a university library is to meet the instructional and research needs of the students and faculty at that university. However, no university library can acquire all of the recorded information that its clientele may find useful. An attempt is made, therefore, to recognize the mechanisms being developed to promote cooperative access to scholarly information, to identify the current limitations of interdependence, and to enumerate the factors which are essential in maintaining an environment in which instruction and research can flourish.

Care has been taken to limit the standards to succinct statements focusing on the elements judged to be most critical in determining the adequacy of a university library. Amplification of the principles identified in the standards is provided in the form of commentary.

Section A: Services

Standard A.1

In order to support the instructional, research, and public service programs of the university, the services offered by a university library shall promote and facilitate effective use of recorded information in all formats by all of the library's clientele.

Commentary on Standard A.1

In developing and implementing its program of service, a university library should give priority to the needs of the students, faculty, and other academic staff of the university, who may be said to constitute the library's "primary clientele." While it may also have obligations or commitments to other clienteles or constituencies, the library should recognize that these are secondary.

A university library should provide the following services: reference and information services which are available at adequately identified and designated points during established service hours, specialized and in-depth assistance to individuals in the use of the library's resources, bibliographic instruction programs, services which will facilitate access to nonprint media and machine-readable data bases, and services which will facilitate access to recorded information in other library collections.

These services should be designed to meet effectively the whole range of different informational and bibliographical needs that arise in the various academic areas and in all other parts of the university.

While universities should place great emphasis on meeting the intensive library needs of graduate students and faculty, they should be careful to provide adequately for the needs of undergraduate students.

Finally, university libraries should recognize that, to one degree or another, they share a responsibility with all research libraries to support higher education in general and each other in particular through cooperative efforts.

Standard A.2

In order to ensure maximum access to its collections and their contents, a university library shall maintain records of its collections which are complete, consistent, and in conformity with national bibliographical standards and requirements.

Commentary on Standard A.2

The extent of bibliographical coverage that must be provided in a particular library will depend on many factors, such as whether or not the library has open or closed access stacks, the extent and nature of the library's specialized collections, the history and traditions of the library and of the university, and the nature of specific cooperative arrangements that the library may have entered into with other libraries and library consortia.

To ensure effective access to its collections as well as to increase its operational efficiency, a university library's bibliographic records should conform to recognized standards of cataloging and classification, and its bibliographic apparatus should be internally consistent. Its bibliographic records should be adjusted in conjunction with periodic inventories of the collections. Every multi-unit university library should have a union catalog of its cataloged holdings.

Standard A.3

Within the limits of the university's particular responsibilities and priorities, a university library shall provide maximum access to its collections for all of its clientele.

Commentary on Standard A.3

Various factors are involved in providing access to a library's collections, such as circulation policies and procedures, service hours, security arrangements, and actual operating efficiency. While practices vary significantly from library to library, certain principles should be followed in each library. Most items in the library collections should be readily available both for consultation in the library and for circulation to authorized clientele Access to and circulation of rare, fragile, and high-demand materials should be appropriately controlled and restricted. To ensure maximum availability of the collections to those authorized to use them, terms of loan should be carefully set and should generally be similar for all user categories.

Adequate precautions should be taken to control loss of or damage to the library's collections. The prompt return in good condition of all circulated materials should be effectively enforced for all borrowers.

Circulation procedures and stack maintenance operations in a university library should be effective and efficient. There should be a regular and continuing program of shelf reading. Library service hours should be responsive to high- and low-use periods, to the number of branch, departmental, and other special libraries in the system as well as to the availability of alternative study space.

Section B: Collections

Standard B.1

A university library's collections shall be of sufficient size and scope to support the university's total instructional needs and to facilitate the university's research programs.

Commentary on Standard B.1

A university library should provide all of the resources that are necessary for direct support of the university's full instructional programs at both the undergraduate and the graduate levels. If these resources are not readily available in the library, the instructional programs cannot be carried out successfully. These resources include required and assigned readings, reference and bibliographical materials, basic journals and serials, as well as any other library materials that undergraduate or graduate students are expected to be able to consult readily in their courses of study, or in the preparation of theses and dissertations.

Weak collections can hamper research. The accumulation and preservation of substantial collections and the implementation of comprehensive acquisition programs must be recognized as providing a resource whose presence within a university is essential to the conditions under which knowledge is effectively increased and transmitted. It is clear that no university library can be expected to possess in its collections all of the recorded information which faculty or doctoral students may need to consult as they pursue their research. Nevertheless, it is essential that collections be of such size, scope, and quality that they promote rather than restrict research. While every library should take care to develop collections whose areas of concentration reflect and support the academic priorities and strengths within the university, interlibrary arrangements, which have long been established for the mutual support of exceptional research needs, must continue to be relied upon to supplement even the most comprehensive research collections.

The continued rapid growth of scholarly literature and the costs of providing access to this literature for those in the university community have necessitated formal and informal arrangements among libraries to ensure maximum access to this literature. Common methods of sharing resources and improving access have been loans between libraries, provision of visiting privileges for scholars, agreements on the acquisitions of materials, and sharing of bibliographic information.

While interlibrary cooperation, as presently practiced, may not promise large cost savings in the immediate future, significant improved methods of supplementing local resources are in the active planning stages. University libraries must participate in the development of these new access mechanisms to ensure that local, regional, national, and international interests are effectively served.

Attempts have been made to identify precise quantitative measures of adequate collection size and growth rates for a university library. No such formula has yet been developed which can be generally applied. At present, such formulas as exist can only yield approximations which indicate a general level of need. If they are applied arbitrarily and mechanically, they can distort the realities of a given situation. Nevertheless, quantitative measures are increasingly important in guiding the qualitative judgment that must ultimately be applied to university libraries and their collections. One technique is the use of regression analysis to facilitate the comparison of similar libraries to one another;[3] another of some general applicability is the "index of quality" developed by the American Council on Education for relating library collection size to graduate program quality.[4]

Standard B.2

A university library's collections shall be developed systematically and consistently within the terms of explicit and detailed policies.

Commentary on Standard B.2

Given the great breadth of university library collections and the wide variations in depth of collections among subjects held, it is essential that there be a collections development policy to guide the selection and acquisition of materials.

By establishing such a policy, librarians seek to ensure that the library's collections are planned and developed in relation to the university's academic, research, and service goals and priorities and within the limits of resources available.

Working in close consultation with faculty and administration, librarians, particularly subject specialists, should assume the responsibility for drafting and implementing this policy.

Recognizing the inherent difficulties in collection development, it is imperative that the library have full and continuous access to information about all developments, actual and planned, in the academic, research, and service programs of the university and its components which affect the library.

Once codified, the library's collection development policy should be made known to and endorsed by the university faculty and administration. To ensure that this policy reflects changes within the university, the policy should be regularly and carefully reviewed.

Standard B.3

A university library's collections shall contain all of the varied forms of recorded information.

Commentary on Standard B.3

The university library has traditionally been recognized as the repository within the university for the printed information needed to support the university's instructional and research programs. As recorded information becomes increasingly available in a variety of nonprint formats, such as films, sound recordings, and video tapes, it is appropriate that this material, except where needed exclusively for classroom use, also be acquired, organized, and made available through the university library.[5]

Section C: Personnel

Standard C.1

A university library shall have a sufficient number and variety of personnel to develop, organize, and maintain such collections and to provide such reference and information services as will meet the university's needs.

Commentary on Standard C.1

The size of a university library's staff is determined by many factors, including the number of physically separate library units, the number of service points requiring staff, the number of service hours provided, the number and special characteristics of items processed annually, the nature and quality of the processing to which they are subjected, the size of the collections, and the rate of circulation of the collections. Interinstitutional cooperative arrangements may also affect staff size. As such factors vary widely from one institution to another, no single model or formula can be provided for developing an optimum staff size.

A university library should have on its staff a variety of personnel: professional, clerical, and student-assistant staff. The librarians should perform the core academic and professional functions of the library: collection development, reference and information services, and substantive activities related to the bibliographic control of materials. All categories of personnel should have appropriate education and experience, including, when necessary, graduate or professional degrees in their particular specialties. The recognized terminal degree for librarians is the master's degree from an American Library Association accredited library school program, although additional graduate degrees may sometimes be desirable.

The deployment of personnel within a specific university library is related to the range of operations and services provided by that library and to its total workload requirements.

Standard C.2

Personnel practices within a university library shall be based on sound, contemporary administrative practice and shall be consistent with personnel practices within the university as well as the goals and purposes of the library.

Commentary on Standard C.2

The terms and conditions of employment of the several categories of staff in a university library should be consonant with the established terms and conditions of employment of staff in related categories elsewhere within the university. Terms and conditions of employment for librarians, for example, should parallel those of the rest of the university's academic staff, just as terms and conditions of employment for the library's clerical and student staff should parallel those of similar employees within the university as a whole.

A comprehensive university library personnel management program should address recruitment, appointment, promotion, tenure, dismissal, appeal, definition of position responsibilities, classification and pay plans, orientation and training programs, review of employee performance, staff development, and counseling.

More specific guidance on these matters is provided in the following documents: "Statement on Faculty Status of College and University Librarians"[6] and "Library Education and Personnel Utilization."[7]

Section D: Facilities

Standard D.1

A university library shall have facilities which meet the present and anticipated future requirements of the university and its programs.

Commentary on Standard D.1

A university library's buildings should be of sufficient size and quality to house the collections and to provide sufficient space for their use by students, faculty, and other clientele. There should also be adequate space for the library operations necessary for the provision of its services. Adequacy of facilities cannot be determined simply on the basis of present requirements. The size and composition of the university's enrollment, the nature of its instructional and research programs, the form and publication rate of library materials strongly influence library requirements, and it is necessary that these requirements be subject to continuous evaluation and planning.

A university library should be attractive, inviting, and carefully designed to promote operational efficiency and effectiveness of use. Specific factors relevant here include general environmental features that affect clientele, staff, and collections (light, ventilation, temperature and humidity control, vertical and horizontal transportation, safety features, etc.), layout of the stacks, number and variety of reader stations, relationship between stacks and reader stations, relationship among service points, effective flow of materials, and adequacy of space for staff and operations.

The fundamental consideration in designing a library building should be its function. Since the nature of collections, services, operations, and the needs of a library's clientele can change significantly over time, present and future flexibility is an important element in library design. Although the architectural style and traditions of a university may dictate certain design features for a library building, such factors should not be allowed to compromise basic functional considerations.[8]

Standard D.2

Libraries shall be so located that the university community will have convenient access to them.

Commentary on Standard D.2

The requirements of interdisciplinary studies and research, recognition of the needs of undergraduate students, the urgency of achieving operating economies—these and other factors have revived interest in centralizing physically dispersed library units in order to improve access to resources and avoid costly duplication in the development and maintenance of collections. There are circumstances, however, such as campus geography, intensity of use, and size of collections which may continue to justify the maintenance of multiple library units. Remote storage facilities may also be established in attempting to deal with space inadequacies although this usually inhibits convenience of access. Where the pattern of decentralization persists in any form, it is important that libraries be located so as to minimize inconvenience to all library users.[9]

SECTION E: ADMINISTRATION AND GOVERNANCE

Standard E.1

The place of the university library within the administrative and governance structure of the university shall be clearly identified, and the responsibilities and authority of the library administration and its chief administrative officer shall be defined.

Commentary on Standard E.1

If there is ambiguity within the university community as to the particular place occupied by the library within the administrative and governance structure of the university, and if the authority and responsibilities of the library's chief administrative officer are not clearly identified, misunderstanding, conflict, and confusion can sometimes result to the detriment of both the university and its library. Because it is closely related to instruction and research, the university library should be formally recognized as one of the major academic units within the university, and its chief administrative officer should participate regularly and directly in university-wide academic planning and decision making. For similar reasons, this person should report directly to the chief academic officer of the university.

The long-recognized need in institutions of higher education to involve faculty in library matters has led to the institutionalization of the advisory library committee. Because of the fundamental importance of the library to instruction and research and the consequent need for close, continuing interaction between the faculty and the library, the existence of the library committee is valuable. The committee should be advisory, and its responsibilities should be clearly delineated.

Standard E.2

The university library's own administrative and governance structure shall be clearly specified and shall be consonant with the governance structure of the university as well as with the particular needs and requirements of the library.

Commentary on Standard E.2

In order to facilitate effective organizational activity and decision making, it is essential that the administrative and governance structure of the university library itself be clearly specified. This will involve identifying the roles and responsibilities of all categories of library personnel in the governance of the library. It is essential that library governance reflect the principles and practice followed elsewhere within the university, although they should be modified as necessary to embody those conditions and issues peculiar to an academic library.

Standard E.3

There shall be a close administrative relationship among all libraries within the university to the end that library users may make full and effective use of library resources and services.

Commentary on Standard E.3

No single pattern of library administration will serve all universities equally well, but whatever pattern an institution chooses should have as its principal purpose the equitable distribution of library resources and services. The needs of scholars differ from discipline to discipline and often the needs of students differ from those of faculty. These competing interests cannot always be reconciled, but one important task of library administration is to achieve as much balance as possible in the provision of services to all groups.

However administrative relationships among library units within a university are determined, it is essential that adequate coordinating mechanisms be established and enforced to ensure that service policies are in reasonable harmony, that costs related to duplication are controlled, and that access to all library collections is maximized.

Standard E.4

A university library's major policies and procedures shall be clearly defined and regularly reviewed.

Commentary on Standard E.4

In order to ensure that it is effective internally and understood externally, a university library should clearly define its major policies and procedures and record them in written form. The written statements of policy should be readily available to all members of the library staff, and policies which have external relevance (such as the library's collection development policy or circulation policy) should be accessible to the library's clientele and to others who may need or desire to consult them. These policies, as well as the practices that implement them, should be regularly reviewed to ensure that they continue to be appropriate.

SECTION F: FINANCE

Standard F.1

Budgetary support for the university library shall be sufficient to enable it to fulfill its obligations and responsibilities as identified in the preceding standards.

Commentary on Standard F.1

The total budgetary needs of a university library can be determined only in relation to its responsibilities. Many attempts have been made to develop formulas or other "objective" measures for determining the budgetary requirements of a university library. These measures range from matching funding with student enrollment to defining a minimum percentage of the total university G and E budget which should be devoted to the library. Such "objective" approaches to budget determination do not always take cognizance of the range and complexity of demands which any university library must meet, as well as the significantly different library needs of different universities.

These conditions also make it impossible to identify a viable model that can be applied to all university libraries for allocating their budgets by major category (salaries and wages, acquisitions, binding, miscellaneous supplies, and other expense). Allocation ultimately depends on local requirements and priorities. For example, if a university library is expected to operate a substantial number of discrete units with parallel and duplicative activities, its expenditures for salaries and wages will be higher than if this were not the case.

Under any circumstances, it is essential that a university library be provided with sufficient funding to enable it to develop appropriate collections, provide appropriate services, carry out necessary operations, and satisfy identified expectations and requirements. If funding is less than is necessary to fulfill these obligations, the library will be unable to meet university needs.

A university library should be expected to operate on a sound financial basis. To do this, the library and its administration must be able to identify and support its fiscal request effectively and to report adequately on expenditure of funds.

Standard F.2

The university library budget shall be a distinct part of the university's budget, and it shall be developed and managed by the chief administrative officer of the university library.

Commentary on Standard F.2

The authority to prepare, submit, defend, and administer the university library budget should be delegated clearly and explicitly to the chief administrative officer of the university library. He or she should have full responsibility for managing this budget as well as the authority necessary to maximize the use of the library's total resources. He or she should have the same degree of latitude and responsibility that is exercised by other major administrative officers within the university. The library should be responsible for preparing adequate and regular reports on expenditures throughout the year. These reports should conform to the university's requirements and, where necessary, to its standardized procedures and practices.

Because of the importance of the library within the university and the need that it respond effectively to changing demands, priorities, and academic programs, it is essential that the library budget be developed in relationship to and with full cognizance of the total university budget-planning process, and that the library's chief administrative officer be directly and significantly involved in this process.

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APPENDIX

QUANTITATIVE ANALYTICAL TECHNIQUES FOR UNIVERSITY LIBRARIES

The university libraries[1] to which quantitative measures might be applied are so complex, so diverse in the programs they support, and so different from each other that it is extremely difficult, if not impossible, to devise a common statistical measure which could be applied to all of them. This problem is further complicated by the character and inadequacy of the currently available data. Herman Fussler, for example, observes that "libraries, like universities, tend to have very inadequate analytical data on their own operations and performance. Such data, especially as they relate to costs and system responses to user needs, are critically important in any effort to improve a library's efficiency and responsiveness."[2] Fritz Machlup, in the course of his recent efforts to measure the holdings and acquisitions of libraries on a broad scale, has complained about the lack of adequate data.[3] Other observers have challenged the utility of present library data collection.[4] They focus on perceived failures to measure performance or effectiveness. Nevertheless, academic institutions do compete for faculty and students, and one of the elements in this competition is the adequacy of library services and collections. Comparative judgments about academic libraries are made, and these comparisons can be aided by quantitative measures.

Unfortunately, much of the data which are needed to actually make interinstitutional comparisons is not easily available, although some useful data can be obtained from ARL statistics. The LIBGIS and HEGIS surveys also supply data, but these are usually too old for current needs or in a form which is difficult to use. Consequently, the analyst is compelled to rely on what is available: ARL statistics, authorities who have written on the subject, and such limited surveys as he or she can make. All of these methods have varying degrees of utility, but with the possible exception of the ARL data, none provide the raw data on which empirically derived measures can be based. Certain "common" practices can be discerned, and the advice of authorities can be weighed, but these, however valuable, do not constitute quantitative measures in an empirically derivable, logically justifiable sense. To have reliable quantitative measures, the categories to be measured must be defined, and a mechanism for gathering the necessary data must be developed.

In the absence of either of these necessary conditions, it is difficult to do more than perform what analyses can be performed on ARL data. Briefly, these fall into three categories: (a) insights obtained by simple inspection of the data; (b) the construction of ratios which reduce the quantity of data to be comprehended and facilitate comparison; and (c) regression analysis which performs roughly the same function from the analyst's point of view as the construction of ratios but also requires an effort on the part of the analyst to group like institutions together and gives the analyst some indication of how well this has been accomplished (coefficient of determination).

Simple inspection of ARL data, aided by rankings, ranges, averages, and medians, does provide useful insights for the experienced library manager who can mentally discount obvious discrepancies and differences between institutions and can restrict comparisons to a homogeneous group. However, to read, for example, that in 1976–77 the number of volumes in ARL libraries ranged between Harvard's 9,547,576 and McMaster's 906,741, that the average library held 2,127,047, and the median was 1,653,000 may give the reader a sense of perspective, which is valuable, but it is of limited use in drawing comparisons between rather different institutions.

A reduction of data can be achieved by the use of ratios or percentages, as is shown in the example of ratio analysis below. Some of those which can be generated from existing data include:

1. The ratio of professional to nonprofessional staff
2. Expenditure for library materials as a percent of total library operating expenditure
3. Ratio of salary expenditures to library material expenditures

This kind of data reduction aids analysis by making the data more comprehensible. For example, among ARL libraries in 1976–77, the ratio of professional to nonprofessional staff ranged from 1 ; to 0.24; the average was 0.51 and the median 0.49. The overwhelming majority of libraries tended toward a pattern of one professional to two nonprofessionals. Among ARL libraries in 1976–77, expenditures for library materials as a percent of total library expenditures ranged from 19.14 percent for Toronto to 50.61 percent for Houston. The average was 31.46 percent and the median 30.09 percent. The vast majority of ARL libraries tended to spend 30 percent of their budgets on acquisitions. The obverse of materials expenditure for libraries is salary expenditure. Expressed as a ratio of salary to materials it ranged from 3.6 in the case of Toronto, to 0.8 in the case of Houston, with the median 1.9 and the average 1.93.

From ratios such as these, a deeper insight into library operations can be obtained, but it would be rash to conclude that all libraries should spend 30 percent of their budgets for books and 60 percent for salaries or that the ratio of professional to nonprofessional should always be 1:2. Local conditions dictate differing policies. A library with many branches may require a higher ratio of professionals to nonprofessionals. Conversely, differing operating conditions, different types of staffing may dictate different ratios. An example of a more extended kind of ratio analysis is that of Allan Cartter's Library Resources Index, which is described in a following section. Yet, even this kind of ratio should be viewed cautiously. At best, ratio analysis can serve only as a background against which local conditions may be evaluated.

Regression analysis also provides a form of data reduction, but it compels the analyst to attempt to group like institutions together. Baumol and Marcus provide a guide to its use in library data analysis.[5] The concluding section of this appendix gives an example of its application. But the same caveats about drawing inferences that apply to ratio analysis apply to regression analysis.

In addition to these, there is a growing literature on performance evaluation of libraries which is expressed in various ways. F. W. Lancaster summarizes some of the possible approaches:

"1. The ability of the library to deliver a particular item when it is needed.

"2. The ability of the catalog and the shelf arrangement to disclose the holdings of particular items or of materials on particular subjects.

"3. The ability of reference staff to answer questions completely and accurately.

"4. The speed with which a particular item can be located when needed.

"5. The speed with which a reference inquiry can be answered or a literature search conducted and the results presented to the library user.

"6. The amount of effort that the user must himself expend in exploiting the services of the library (including factors of physical accessibility of the library and its collections, the size and quality of the library staff, and the way in which the collections are cataloged, indexed, shelved and signposted."[6]

Performance measures are, however, still in the early stages of their development. They may eventually prove to be extremely important to libraries, but they are likely to be most useful in making intrainstitutional rather than interinstitutional decisions. In sum, there are no simple solutions, no ready panaceas, no easily available substitutes for intelligent analysis of available data.

Example of Ratio Analysis

Table 1 below demonstrates the application of ratio analysis to library materials expenditures as a percentage of total library operating expenditures. It is based on the latest (1976–77) ARL data. For the sake of brevity and because this is simply used as an example, only twenty of the total applicable ninety-three institutions have been included.

The Library Resources Index

The Library Resources Index is a specialized index devised by Allan M. Cartter and published

TABLE 1
LIBRARY MATERIALS EXPENDITURES AS A PERCENTAGE OF TOTAL LIBRARY OPERATING EXPENDITURES (VALUE) FOR TWENTY UNIVERSITY LIBRARIES, 1976–77

Rank Order Number	Institution Number	Institution Name	Value
1	31	Houston	50.61
2	3	Arizona	44.63
3	82	Texas A & M	44.05
4	87	VPI & SU	42.84
5	81	Texas	42.69
6	28	Georgia	42.21
7	35	Iowa	42.15
8	71	South Carolina	42.08
9	68	Rice	41.67
10	42	Louisiana State	40.19
11	20	Connecticut	40.04
12	60	Oklahoma State	39.51
13	53	Nebraska	39.30
14	80	Tennessee	39.22
15	52	Missouri	38.93
16	4	Arizona State	38.62
17	22	Dartmouth	38.30
18	24	Emory	38.23
19	1	Alabama	38.08
20	57	Notre Dame	37.87

TABLE 2
THE LIBRARY RESOURCES INDEX APPLIED TO TWENTY ARL LIBRARIES, 1976–77

Rank Order Overall Index	Institution Name	Total Volume Index	Volumes Added Index	Serials Index	Overall Library Resources Index
1	Harvard	4.49	2.25	3.89	3.54
2	Illinois	2.74	1.95	3.43	2.71
3	Yale	3.24	2.40	2.44	2.69
4	Calif., Berkeley	2.31	1.75	3.90	2.65
5	Texas	1.91	2.87	2.41	2.39
6	Indiana	2.07	2.39	1.71	2.05
7	Columbia	2.22	1.57	2.31	2.03
8	Michigan	2.31	1.81	1.92	2.02
9	Stanford	2.05	1.67	2.13	1.95
10	Toronto	1.87	2.15	1.66	1.90
11	Calif., Los Angeles	1.84	1.44	2.26	1.84
12	Washington	1.52	2.16	1.64	1.77
13	Cornell	1.87	1.33	2.08	1.76
14	Chicago	1.83	1.60	1.76	1.73
15	Wisconsin	1.52	1.30	1.92	1.58
16	Ohio State	1.53	1.50	1.15	1.39
17	Minnesota	1.58	0.93	1.48	1.33
18	Duke	1.35	1.28	1.33	1.32
19	Princeton	1.37	1.18	1.25	1.27
20	Pennsylvania	1.31	1.08	1.10	1.16

in his *An Assessment of Quality in Graduate Education.*[7] It is an average of three indexes and is computed in the following way. First, the pool of institutions to be compared is determined. (In the example, shown as table 2, this pool is all ARL libraries and the data are for 1976–77). Second, three variables are isolated: (a) total volumes; (b) volumes added; and (c) periodicals received. A separate index is formed for each variable by finding the average for each variable and dividing the average value into the value for each institution.

For example, assume that the average number of periodicals held in ARL libraries is 15,000, and three institutions have totals respectively of 60,000, 15,000, and 7,500. Dividing the average, 15,000, into each of these figures yields index values of 4, 1, and .5. Similarly, values are found for each institution for the other two variables: volumes added and total volumes. Then the three index values for each institution are summed, divided by three, and sorted into descending order. For example, refer to institution number 8 in table 2. It is Michigan. It has index values of 2.31, 1.81, and 1.92. The sum of these is 6.04. Dividing this by 3 yields 2.01, the overall library resources index.

Mr. Cartter's index was based on 1963–64 data. His general conclusion at that time was: "Those libraries which fall below .5 are probably too weak to support quality graduate programs in a wide range of fields, although they may be adequate for an institution that specializes in technology or in advanced work in a very limited number of areas."[8]

Table 2 demonstrates an application of the Library Resources Index to twenty ARL libraries, using 1976–77 ARL data.

Regression Analysis Tables Using ARL Data, 1975–76

In analyzing data from ARL libraries, the strongest statistical relationships are found to exist when these libraries are categorized in some way. Therefore, by way of example, ARL libraries may be grouped in four different ways:

1. All ARL academic libraries.
2. All private ARL academic libraries in the U.S.
3. All public ARL academic libraries in the U.S.
4. All Canadian ARL academic libraries.

Further, for each group additional tables may be developed that predict the values of certain different (dependent) variables based upon the value of other (independent) variables. Six variables, for example, which can be examined are:

1. Professional staff
2. Total staff
3. Gross volumes added
4. Expenditures for library materials
5. Total library expenditures
6. Current periodicals held

For each library in each of the four groups noted above, the following predictions then can be made:

1. Number of professional staff based on number of volumes held
2. Number of total staff based on number of volumes held
3. Number of gross volumes added based on volumes held

TABLE 3
EXAMPLE OF REGRESSION ANALYSIS APPLIED
TO SIZE OF PROFESSIONAL STAFF (Y)

Institution	Y Value	Y Estimate	Residual	Display	
Library A	37	39	−2	X	
Library B	52	48	+4		X
Library C	63	55	+8		X
Library D	60	72	−12	X	
				least squares line normalized	

4. Expenditures for library materials based on gross volumes added and volumes held
5. Total expenditures based on volumes held, gross volumes added, and total staff
6. Number of current serials based on number of volumes held

Thus, for each table there can be plotted a display of variables, together with observations for each institution, and which include for each dependent variable its actual value, its estimated value, and the residual, which is the difference between the actual and the estimated value. For example, assume we have the display shown above as table 3, which predicts the number of professional staff a library is expected to have based upon the number of volumes held.

The first column identifies each institution; the second shows the actual value for each variable; the third shows the expected value based on the regression equation computation which has been done; the fourth is the difference between columns two and three; and the fifth is a plot of the data.

Looking at Library A, we see that it has thirty-seven professional staff, but based on the other libraries in its comparison class, it would be expected to have thirty-nine. The actual value is two fewer than expected, so its position on the graph is plotted to the left of the least squares line. (See any standard textbook on statistics for detailed explanation of this technique.) Libraries B and C have more professionals than would be expected, so they are plotted to the right of the line. Consequently, by inspection, the library manager can note any obvious anomalies between his or her institution and others.

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Guidelines for Branch Libraries in Colleges and Universities

Approved as policy by the Board of Directors of the Association of College and Research Libraries, on July 3, 1975.

Introduction

One of the most persistent and difficult organizational issues for academic libraries is the physical centralization or decentralization of library services. When should a branch library be created? Are established ones effective? The following Guidelines were developed by the Association of College and Research Libraries in response to requests from academic librarians and administrators for criteria to assist them in reviewing the need for branch libraries at their institutions. Their objective is to provide a framework for assessing the need for branch libraries and for developing policies for administering effective branch services.

In this document, the term "branch" has been used generally to define a library service unit, with collections, which is usually physically removed from the main library. It encompasses a variety of references, including:

- Department and professional libraries with collections and services organized primarily to serve the needs of one or two academic disciplines.
- Divisional libraries with collections and services organized to serve the needs of several related subject fields, including interdisciplinary studies.
- Undergraduate libraries with collections and services organized to meet particular instruction needs of the institution.

The Guidelines

Branch libraries under a variety of designations have been established to extend the services of the main library at many academic institutions. Factors governing their development include the mission of the institution, campus geography, enrollment patterns, financial conditions, space requirements, instructional techniques, user expectations and demands, and external pressures. These guidelines identify the primary factors influencing the development and maintenance of branch library collections and services. A review of these factors as they relate to local circumstances should assist librarians and their institutions in evaluating the need for branch libraries and enable them to make sound decisions related to establishing or continuing branch libraries. The reviewing process is described in the following two sections: Need Analysis and Evaluation, and Operating Policies.

Need Analysis and Evaluation

The needs of modern scholarship must be served by access to a broad spectrum of resources, including the literature of a special field and all subjects of related interest. The basic objectives of the academic library are to acquire, organize, store and disseminate recorded information, and to provide services by which to obtain it locally, or to guide and assist the user to appropriate external sources. The library user's major concern is for the totality of the resources available to him. All recorded resources commonly used to enrich or support the learning process, and which are owned by or on loan to the academic institution, are information resources. These resources should be included as part of the inventory administered by the library so that standards of collection development and service can be maintained at reasonable cost.

An analysis of need for branch libraries should account for the requirements of a branch library's primary clientele as well as those of the entire academic community. The analysis should include supporting data covering the following points:

1. The educational philosophy and objectives of the institution, and the role of library services within this context.
2. A description of projected branch services including—
   a. Its primary clientele (students, faculty, academic departments) and their information needs.
   b. Geographical location related to primary clientele and to the total community of users.
   c. Collection development and organization plans, including projections of maximum size.
   d. User services, including hours of access and on-site staffing requirements.
   e. Access to union catalogs, delivery services, and specialized information systems.
   f. Space and equipment requirements, including growth projections to meet changing needs.
   g. Total development and operating costs, including long-range projections to meet growth needs.
3. A description of present library services, including—

a. Information needs of the total community defining both general and special requirements.
b. Geographical location of present facilities related to users' locations.
c. Collection development policies and physical organization of the collection, including cross-disciplinary needs of the academic community and collection growth projections.
d. User services, including hours of access and on-site staffing requirements.
e. Union catalogs, delivery systems and specialized information systems.
f. Space and equipment requirements, including growth projections to meet changing needs.
g. Financial support requirements, including long-range projections to meet growth needs.

4. A comparative analysis of projected branch services and existing library services, using each of the factors identified in points 1, 2 and 3. Note should be made of the following:
   a. Restrictions on user access to collections and services, such as geography, transportation facilities, collection arrangements, delivery services for library materials, service hours, staffing assistance, and special use privileges for defined group of clientele.
   b. Collection development and arrangement requirements, including the cost of duplicating library resources, and developing new subject collections.
   c. Space and equipment requirements, including the cost of establishing and maintaining new facilities.
   d. Financial support requirements, including long-range projections to meet growth needs. This should include a review of the institution's long-range projections for financial support of its library programs.

   Implicit with the creation of a branch is a commitment to funding its development, on-going services, and growth while maintaining adequate support levels for library services required by the total academic community.

Administrative Principles

The decision to establish or continue a branch library should be accompanied by administrative policy statements clearly defining the responsibilities of the library system, including its branches. Library policy statements supporting objectives and operating procedures of branches should cover the following: the purpose of the branch; administrative structure; collections development; services; staffing; and facilities. To fit into the larger framework of the institution's objectives and programs, these policy statements should be approved by the library director and appropriate administrative officers, and supported by committees representing a variety of interest groups.

The following general principles should be considered in drafting policies for managing branch libraries:

Organization

The responsibility for the management of all libraries, both main and branch, should rest with the library administration. Library services are most effective when all the institution's library resources are considered part of one system with consistent policies for access, accounting, analysis and the like. Centralized planning and direction are necessary to achieve the best use of the financial resources an institution can allocate for library services.

The branch library staff should report to the main library administration. This relationship should be defined in job descriptions and outlined on organization charts.

Written statements defining goals and objectives of a branch library should be determined carefully, described clearly, updated regularly, and stated in measurable terms. The review and evaluation of branch operations should be conducted with the assistance of the library's advisory committees representing the interests of the total academic community.

A manual of operating policies and procedures is recommended for all branch libraries.

Collections Development

The materials selection policy for each branch should be coordinated with the main library's selection policies. The policy should emphasize the branch's goals and objectives as the foundation for acquisitions, and the framework within which the branch collection is to be evaluated. The collection should be restricted, as far as possible, to the subjects the branch serves, and should include all forms of material necessary to support those fields. An explicit policy covering the provision of duplicate materials, whether in the main library, or in a branch, is essential. Discarding policies should be included in selection policy statements.

Collection Organization

Whenever centralization can produce significant economies in processing and acquisitions, it should be effected. However, an analysis should be made in each case since no absolute rule or guideline can be established. In most cases, centralized processing and acquisitions will prove most economical.

The holdings of a library system, including those of branch libraries, should be listed in union catalogs and other access points to the collections, and be open to the library's general community. Branch users should have access to the files of the branch's holdings, union lists and other similar records produced by the library system in the branch.

Services

Branch libraries should maintain the same standards of service, but not necessarily the same services, as the main library with respect to access, staffing, assistance to users and adequacy of physical facilities. To this end—

Branch services, including circulation privileges, should be available to the total academic community at hours convenient to the users. Delivery and photocopy services are encouraged to provide maximum accessibility to and utilization of the materials.

Competent staffing should be provided to insure the proper development and use of the library's collection. The staff is a primary link between the community's needs and the library's collections.

The quality of branch services depends on its responsiveness to its user's needs. It is essential that the intended users of the branch be consulted periodically to advise the branch on developing and evaluating its services.

Reprints of this article are available, upon request, from the ACRL Office, 50 E. Huron St., Chicago, IL 60611.

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The mission of a university undergraduate library: Model statement

Prepared by the ACRL Undergraduate Librarians Discussion Group and the ULS Steering Committee

The final version that was approved by the ALA Standards Committee (January 1988).

The purpose of the undergraduate library is to take primary responsibility for meeting the library needs of undergraduate students in a large university environment. The designation of a separate library expressly for undergraduates is based on the premise that undergraduates deserve a full and fair share of the libraries' resources—materials, services, and staff time. The policies of the separate undergraduate library may frequently give preferential treatment to undergraduates to ensure this allocation of resources. The nature of the environment, the specific needs of undergraduates, and the kinds of staff and services required to effectively meet those needs are more fully described in the following paragraphs.

Environment

The library systems of large universities generally consist of several major departmental libraries plus numerous special libraries and reading rooms spread over a large campus area. The materials collection of the library system is measured in millions of volumes. Each library within the system concentrates on the needs of the members of a specific department or field of study, and the quality of the library is defined in terms of the strengths of the research collection. Specialized services are often provided for those doing research, such as computerized searching of commercial resource databases. The staff members of those libraries are selected for their ability to provide graduate-level reference services, to organize complex collections, and to select the often esoteric materials needed in a research library. In-depth subject knowledge and managerial skills are also frequently required.

Users

Within this research-oriented setting, there are large numbers of undergraduate students with varying levels of experience and ability in using libraries. As a group most first-year students share the following characteristics:

1. They do not yet have the sophisticated research skills needed to exploit the research library's potential.

2. They are intimidated by the complexity and size of a large library system.

3. They are often reluctant to ask for assistance

in the use of a library.

4. They are unaware of the many services and resources which are available in university libraries.

The needs of academic library users are on a spectrum, with study space, instruction in basic research tools, and reserve books at one end, and primary source materials and special bibliographic services at the other end. The concentration of needs of the undergraduate is at the former end of the spectrum and the undergraduate library focuses on serving these needs. The undergraduate library may also serve the informational needs of other users, including members of the civic community.

Information services

An undergraduate library with a collection of the size and nature required to meet undergraduate needs is not always easy to use. The identification of materials wanted is often confusing and may be incomprehensible until the user is actually shown how the system works. Teaching students how to use a library is therefore a basic service provided by the staff of the undergraduate library. The teaching programs of undergraduate libraries are varied. They include teaching by personal contact and through the preparation of printed and other materials. They include formal group instruction and informal, unstructured contacts with students. The programs generally include three types of activities: reference and referral, orientation, and formal instruction.

Reference encounters with undergraduates often result not only in answering specific questions, but also in personalized instruction in the methods of identifying and retrieving library materials. Supplemental to this personal contact is the provision of bibliographies, booklists, and other aids designed to introduce undergraduates to the materials available in the library and to guide them in finding the materials. The reference service provided by undergraduate librarians is also a referral service to the wide variety of resources in the library system. Referrals may also assist an undergraduate in becoming aware of community libraries and information centers, as well as of personal supportive services including academic, financial, health, and counseling services.

Orientation activities acquaint undergraduates with the facilities and services of the library. They include activities such as the distribution of maps and informational materials that describe the library system and the resources and services of the individual libraries within it, staff-conducted tours for groups, and self-guided tours. Orientation may also include public relations activities that help students become aware of the services and resources of the library.

Bibliographic instruction programs should improve the ability of students to make effective use of the library collections, services, and staff. Instruction may be offered as part of coursework in an academic subject or interdisciplinary program, in a separate course on library skills, in workshops and term-paper clinics, and through point-of-use aids in the library.

Reference service, bibliographic instruction, and orientation activities are appropriate for all levels and types of library users. The undergraduate library focuses on two problems that are particularly common to undergraduates—finding the materials they need, and knowing when to ask for help and having the confidence to do so. Undergraduate libraries provide a laboratory in which to teach students how to use a library. The experience of using an undergraduate library is preparation for using all libraries; preparation not merely for graduate work and research, but also for learning to use information sources that will be needed by undergraduates for the rest of their lives as citizens, as consumers, in their professions, and for their recreational interests.

Collection

The subject scope of the undergraduate library will primarily support the teaching curriculum. A given undergraduate library would operate at one of the following collecting levels: 1) at the level of freshman and sophomore classes; 2) at all levels of undergraduate classwork; 3) at all levels except in disciplines supported by specialized subject libraries or professional schools with undergraduate programs, in which cases bibliographic support by the undergraduate library will be at the freshman and sophomore level. Since many undergraduate courses require large numbers of students to read the same library materials, direct curriculum support will be provided through reserve collections and through purchase of multiple copies of items with high demand.

The undergraduate library will provide not only the best materials of historical or research value (which might be duplicated in other libraries on campus) but also overviews of a subject, jargon-free explanations of a field, and introductory materials. Research reports and other items restricted to a very narrow subject area are less frequently of interest to undergraduates and will be purchased very selectively. The undergraduate library's collection of periodical reference material will concentrate on the more standard and interdisciplinary periodical indexes, since these are most heavily used by undergraduates; the periodical collections should emphasize the titles covered by these indexes. Collections of course-related materials for undergraduate use have increased in the formats available and in content reliability and the appropriate additional resources for undergraduate study. Increasingly the undergraduate library will need to supply non-print materials (with bibliographic access) and well-maintained equipment in order to address growing availability and demand.

Undergraduates select from a wide variety of courses and are therefore looking for library materials on a wide variety of subjects in order to meet course requirements. The subject range of the undergraduate library will be of sufficient comprehensiveness and depth so that, in general, the undergraduate will have a single starting point from which to find the basic information needed for papers, speeches, projects, etc. More advanced needs of undergraduates will be met by specific referral to graduate collections.

The information needs of undergraduates extend beyond the requirements of the curriculum. Undergraduate students are vitally interested in current events and in the current state of the world. The development of cultural, career, and health and recreational interests is also an important part of the life of an individual, and the undergraduate years are a time for exploring the wide range of activities and opportunities available. The library experience of undergraduates should encourage them to seek materials in these areas. The collections of the undergraduate library will therefore be developed to meet these needs, since this is as important to undergraduate education and to the mission of the university as is the support of formal classroom instruction.

Staff

The staff of the undergraduate library must have certain abilities in addition to their information-seeking skills. The ability to interact on a one-to-one basis with a diverse clientele is essential. Staff should also be able to design and implement instructional programs that meet varied user needs. In addition, they should be able to interact with faculty in promoting effective use of library resources in relation to classroom activities. The ability to cooperate with staff of other libraries and resource centers is also needed.

The staff of an undergraduate library must have understanding of the pressures of campus life and a concern for undergraduate needs and problems. The library staff should treat undergraduates with respect, make them feel comfortable in the library, and encourage them to ask for help. Only this personal interaction with students will humanize their library contacts, open paths of communication for their growth in using libraries, and increase their respect for libraries.

Study facilities

The environment of the undergraduate library should encourage the use of the library and its resources. The hours of operation must accommodate a range of student requirements based on class times, work commitments, and varied social habits. Many undergraduates live in environments which are not conducive to study; others simply prefer to study at a library. The undergraduate library should provide sufficient study spaces, based on the size of the student population, in a variety of seating to accommodate student needs and habits, e.g., quiet study of own materials, study with access to library resources, limited group study, and informal interaction.

Development

As undergraduate education changes, so must undergraduate library service. The undergraduate library must be innovative and experimental, alert to changing undergraduate needs, and must often adopt non-traditional library methodology. Current areas of development might include the following:

- Continuing exploration of effective use of library materials in support of classroom teaching.
- Expanding programs of bibliographic instruction.
- Service to special groups, e.g., the visually impaired, the disadvantaged, or international students.
- Integration of new and/or advanced technologies such as computer systems, microcomputers, video or optical disks as appropriate.
- Cooperative programs with other campus units, such as tutoring and counseling services.

Developments in some of these areas may be at the library system level rather than exclusively within the undergraduate library. However, it is the responsibility of the undergraduate library staff to shape these developments to meet the needs of undergraduates and their academic programs.

Note: This revision was prepared by the following people with approval by the Undergraduate Librarians Discussion Group and the Steering Committee of the University Libraries Section of ACRL: Thomas Fry, Deborah Biggs, Sandra Ward, Robert Merikangas, Molly Mahony, Roland Person, and Wilma Reid Cipolla. ■■

Standards for college libraries, 1986

Prepared by the College Library Standards Committee

Jacquelyn M. Morris, Chair

The final version approved by the ACRL Board of Directors.

The Standards for College Libraries were first prepared by a committee of ACRL, approved in 1959, and revised in 1975. This new revision was prepared by ACRL's Ad Hoc College Library Standards Committee. Members are Jacquelyn M. Morris, University of the Pacific (chair); B. Anne Commerton, State University of New York at Oswego; Brian D. Rogers, Connecticut College; Louise S. Sherby, Columbia University; David B. Walch, California Polytechnic State University; and Barbara Williams-Jenkins, South Carolina State College.

Foreword

These Standards were approved as policy by the ACRL Board of Directors at the ALA Midwinter Meeting in Chicago on January 19, 1986. They supersede the 1985 draft Standards published in *C&RL News*, May 1985, and the 1975 Standards published in *C&RL News*, October 1975.

The Ad Hoc Committee was appointed in 1982 to examine the 1975 Standards with particular attention to the following areas:

a. Non-print collections and services;

b. Collections (Formula A), Staff (Formula B), and Budget (% of Education & General);

c. Networking and cooperative associations;

and to recommend revisions which would bring them up to date and make them more generally useful.

The Committee studied each standard in terms of the charge and reviewed several recent studies on the subject of Standards, including:

Larry Hardesty and Stella Bentley, *The Use and Effectiveness of the 1975 Standards for College Libraries: A Survey of College Library Directors* (1981).

Ray L. Carpenter, "College Libraries: A Comparative Analysis in Terms of the ACRL Standards," *College & Research Libraries* 42 (January 1981):7–18.

"An Evaluative Checklist for Reviewing a College Library Program, Based on the 1975 Standards for College Libraries," *C&RL News*, November 1979, pp. 305–16.

The Committee also published a call for comments on the 1975 Standards (*C&RL News*, December 1983) and held hearings at the 1984 ALA Midwinter Meeting and the 1985 ALA Annual Conference.

One of the primary issues with which the Committee has dealt is the effect of new technology on the Standards. While no one predicts the immediate demise of books as we know them, one cannot ignore the multiplicity of formats in which information appears. For example, will the emerging body of online reference tools eventually make it possible for libraries to provide comparable or improved service with smaller book collections?

Access to the major bibliographic utilities is another issue related to technology and libraries. In an information-rich society, does lack of access to these utilities have a detrimental effect on the scholarly programs college libraries are attempting to support? How should the Standards address this lack of concern?

A similar related issue centers on resource sharing and networking. Through access to the emerging "National Database" (defined as the totality of OCLC, RLIN, WLN, and LC) we have greatly increased our knowledge of other libraries' collections. Online identification and location of needed material has shortened the retrieval time. Electronic mail will have a similar impact on resource sharing. Since even the largest libraries find it difficult to collect comprehensively, resource sharing has become an increasingly common fact of life. The 1975 Standards placed a very high value on browsability and immediate access to materials, whereas resource sharing is somewhat contradictory to this concept. On the other hand, cooperative agreements allow for exposure and access to vastly more extensive resources than was hitherto possible.

The Committee discussed extensively the topic of performance measures. While the library directors surveyed and reported in the Hardesty-Bentley article stressed the need for performance measures in the College Library Standards, the Committee concluded that providing them *at this point* is beyond the scope of its charge. Obviously, however, this is a concept whose time has come: the ACRL Ad Hoc Committee on Performance Measures for Academic Libraries, chaired by Virginia Tiefel, has received a five-year appointment which gives some indication of the complexity of the task. The library profession should monitor and support the work of this ad hoc committee.

Some sentiment has been expressed for standards with less emphasis on quantitative measures, patterned after the more abstract "Standards for University Libraries" (*C&RL News*, April 1979, pp. 101–10). While there are certain advantages to standards written in this way, the vast majority of those expressing opinions to the Committee supported the quantitative measurements provided for in the College Library Standards. Most who expressed this view cited Carpenter's findings, noting that a very large percentage of college libraries fail to meet minimum standards in terms of collection size, staff size or budget. Consequently, prescribed goals continue to be regarded by librarians as an important component of the Standards.

While many statements have been modified in these Standards, certain important points should be noted. For example, while the 1975 Standards addressed collection size, they did not address serial subscriptions, on which it is not unusual now for a library to spend half or more of its annual materials budget. Each Standard has been reviewed in light of library technology, networking, and resource sharing, and audiovisual materials. The inclusion of these aspects of libraries has been addressed in Standard 2, Collections; Standard 3, Organization of Material; Standard 6, Facilities; and Standard 8, Budget.

Introduction to the standards

Libraries have long been considered an integral and essential part of the educational programs offered by colleges. Their role has included collecting the records of civilization and documentation of scientific pursuit. An equally important role is to offer various programs to teach or assist users in the retrieval or interpretation of these records and documents. These information resources are essential for members of the higher education community to pursue their academic programs successfully. Total fulfillment of these roles is, however, an ideal goal which continues to be sought and is yet to be attained. Expectations as to the degree of success in achieving this goal vary from institution to institution, and it is this diversity of expectations that prompts the library profession to offer standards for college libraries.

The Standards seek to describe a realistic set of conditions which, if met, will provide a college library program of good quality. Every attempt has been made to synthesize and articulate the library profession's expertise and views of the factors contributing to the adequacy of a library's budget, resources, facilities, and staffing, and the effectiveness of its services, administration, and organization.

These Standards are intended to apply to libraries supporting academic programs at the bachelor's and master's degree levels. They may be applied to libraries at universities which grant a small number of doctoral degrees, say, fewer than ten per year. They are not designed for use in two-year colleges, larger universities, or independent professional schools.*

The eight sections of the 1975 College Library Standards have been retained, and include:

1. Objectives
2. Collections
3. Organization of Materials
4. Staff
5. Services
6. Facilities
7. Administration
8. Budget

Each standard is followed by commentary intended to amplify its intent and assist in its implementation.

Whenever appropriate, the terminology and definitions in the ANSI Z39.7 Standards published in 1983 have been used.

Standard 1: Objectives

1 *The college library shall develop an explicit*

*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. See the revised edition of *A Classification of Institutions of Higher Education* Berkeley, Calif.: The Council, 1976.

statement of its objectives in accord with the goals and purposes of the college.

Commentary

The administration and faculty of every college have a responsibility to examine the educational program from time to time in light of the goals and purposes of the institution. Librarians share this responsibility by seeking ways to provide collections and services which support those goals and purposes. Successful fulfillment of this shared responsibility can best be attained when a clear and explicit statement of library objectives is prepared and promulgated so that all members of the college community can understand and evaluate the appropriateness and effectiveness of the library program.

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

Commentary

The articulation of library objectives is an obligation of the librarians, with the assistance of the support staff. In developing these objectives the library should seek in a formal or structured way the advice and guidance of its primary users, the faculty and students, and of the college administration, in particular those officers responsible for academic programs and policies.

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

Commentary

In reviewing the objectives of the library, careful attention should be paid to ongoing advances in the theory and practice of librarianship. Similarly, changes occurring within the education program of the parent institution should be reflected in a timely way in the program of the library.

Standard 2: The collections

2 *The library's collections shall comprise all types of recorded information, including print materials in all formats, audiovisual materials, sound recordings, materials used with computers, graphics, and three-dimensional materials.*

Commentary

Recorded knowledge and literary or artistic works appear in a wide range of formats. Books represent extended reports of scholarly investigation, compilations of findings, and summaries prepared for instructional purposes. The journal communicates more recent information and is particularly important to the science disciplines. Reports in machine-readable form are an even faster means of research communication. Government documents transmit information generated by or at the behest of official agencies, and newspapers record daily activities throughout the world.

Many kinds of communication take place primarily, or exclusively, through such media as films, slide-tapes, sound recordings, and videotapes. Microforms are used to compact many kinds of information for preservation and storage. Recorded information also exists in the form of manuscripts, archives, databases, and computer software packages. Each medium of communication transmits information in unique ways, and each tends to complement the others.

The inherent unity of recorded information and its importance to all academic departments of an institution require that most, if not all, of this information be selected, organized and made available for use by the library of that institution. In this way the institution's information resources can best be articulated and balanced for the benefit of all users.

2.1 *The library shall provide as promptly as possible a high percentage of the materials needed by its users.*

Commentary

While it is important that a library have in its collection the quantity of materials called for in Formula A, its resources ought to be augmented whenever appropriate with external collections and services. A library that meets part of its responsibilities in this way must ensure that such activities do not weaken a continuing commitment to develop its own holdings. There is no substitute for a strong, immediately accessible collection. Moreover, once a collection has attained the size called for by this formula, its usefulness will soon diminish if new materials are not acquired at an annual gross growth rate of from two to five percent. Libraries with collections which are significantly below the size recommended in Formula A should maintain the 5% growth rate until they can claim a grade of A (see Standard 2.2). Those that meet or exceed the criteria for a grade of A may find it unrealistic or unnecessary to sustain a 5% growth rate.

The proper development of a collection includes concern for quality as well as quantity. A collection may be said to have quality for its purposes 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. While it is possible to have quantity without quality, it is not possible to have quality without quantity defined in relation to the characteristics of the institution. No easily applicable criteria have yet been developed, however, for measuring quality in library collections.

The best way to preserve or improve quality in a college library collection is to adhere to rigorous standards of discrimination in the selection of materials to be added, whether as purchases or gifts. The collection should contain a substantial portion of the titles listed in standard bibliographies for the curricular areas of the institution and for supporting general fields of knowledge. Subject lists for college libraries have been prepared by several learned associations, while general bibliographies such as *Books for College Libraries* are especially useful for identifying important retrospective titles. A majority of the appropriate, current publications reviewed in scholarly journals and in reviewing media such as *Choice* or *Library Journal* should be acquired. Careful attention should also be given to standard works of reference and to bibliographical tools which describe the broad range of information sources.

Institutional needs for periodical holdings vary so widely that a generally applicable formula cannot be used, 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 lists have been prepared of periodical titles appropriate or necessary for college collections. Katz's *Magazines for Libraries* describes 6,500 titles, of which approximately ten percent may be regarded as essential to a broad liberal arts program for undergraduates. To this estimate must be added as many titles as are deemed necessary by the teaching faculty and librarians to provide requisite depth and diversity of holdings. It may not be necessary to subscribe to certain less frequently used titles if they are available at another library nearby, or if needed articles may be quickly procured through a reliable delivery system or by electronic means.

The library collection should be continually evaluated against standard bibliographies and evolving institutional requirements for purposes both of adding new titles and identifying for withdrawal those titles which have outlived their usefulness. No title should be retained for which a clear purpose is not evident in terms of academic programs or extra-curricular enrichment.

Although the scope and content of the collection is ultimately the responsibility of the library staff, this responsibility can be best fulfilled by developing clear selection policies in cooperation with the teaching faculty. Moreover, the teaching faculty should be encouraged to participate in the selection of new titles for the collection.

2.2 The amount of print material to be provided by the library shall be determined by a formula (see Formula A) which takes into account the nature and extent of the academic program of the institution, its enrollment, and the size of the teaching faculty. Moreover, audiovisual holdings and annual resource sharing transactions should be added to this volume count in assessing the extent to which a library succeeds in making materials available to its users.

Commentary

A. Print resources

A strong core collection of print materials, augmented by specific allowences for enrollment, faculty size, and curricular offerings, is an indispensable requirement for the library of any college. The degree to which a library meets this requirement may be calculated with Formula A.

B. Audiovisual resources

The range, extent and configuration of nonprint resources and services in college libraries varies widely according to institutional needs and characteristics. Although audiovisual materials may constitute an important and sometimes sizable part of a library collection, it is neither appropriate nor possible to establish a generally applicable prescriptive formula for calculating the number of such items which should be available.

FORMULA A—

1. Basic collection	85,000 vols.
2. Allowance per FTE faculty member	100 vols.
3. Allowance per FTE student	15 vols.
4. Allowance per undergraduate major or minor field*	350 vols.
5. Allowance per master's field, when no higher degree is offered in the field*	6,000 vols.
6. Allowance per master's field, when a higher degree is offered in the field*	3,000 vols.
7. Allowance per 6th year specialist degree field*	6,000 vols.
8. Allowance per doctoral field*	25,000 vols.

A "volume" is defined as a physical unit of a work which has been printed or otherwise reproduced, typewritten, or handwritten, contained in one binding or portfolio, hardbound or paperbound, which has been catalogued, classified, or otherwise prepared for use. Microform holdings should be converted to volume-equivalents, whether by actual count or by an averaging formula which considers each reel of microfilm, or ten pieces of any other microform, as one volume-equivalent.

*For example of List of Fields, see Gerald S. Malitz, *A Classification of Instructional Programs.* Washington, D.C.: National Center for Education Statistics, 1981.

Audiovisual holdings may be counted as bibliographic unit equivalents and this number should be added to that for print volumes and volume-equivalents in measuring a library's collection against Formula A. These materials include videocassettes, films, and videodisks (1 item = 1 BUE), sound recordings, filmstrips, loops, slide-tape sets, graphic materials including maps, and computer software packages (1 item = 1 BUE); and slides (50 slides = 1 BUE). If some or all of this material is housed in an administratively separate media center or audiovisual facility, it may be included in the grade determination if properly organized for use and readily accessible to the college community.

C. Resource sharing

The extent of resource sharing through formal cooperative arrangements among libraries should be recognized in any assessment of the ability of a library to supply its users with needed materials. Annual statistics of resource sharing should be added to print and audiovisual holdings for purposes of grade determination, as follows:

1. Number of books or other items borrowed through ILL channels or from other sources, including film and videocassette rental agencies.

2. Number of items borrowed from a nearby library with which a formal resource sharing arrangement is in effect.

D. Determination of grade

The degree to which a library provides its users with materials is graded by comparing the combined total of holdings (volumes, volume-equivalents, and bibliographic unit equivalents) and resource sharing transactions with the results of the Formula A calculation. Libraries which can provide 90 to 100 percent of as many volumes as are called for in Formula A, augmenting that volume count with figures from Section B and C, shall be graded A in terms of library resources. From 75 to 89 percent shall be graded B; 60 to 74 percent shall be graded C; and 50 to 59 percent shall be graded D.

Standard 3: Organization of materials

3 Library collections shall be organized by nationally approved conventions and arranged for efficient retrieval at time of need.

Commentary

The acquisition of library materials comprises only part of the task of providing access to them. Collections should be indexed and arranged systematically to assure efficient identification and retrieval.

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

Commentary

The union catalog should be comprehensive and provide bibliographic access to materials in all formats owned by the library. This can best be accomplished through the development of a 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 coöperative development of the library's catalog. These include the use of cataloging information produced by the Library of Congress and the various bibliographic utilities. It may also include the compilation by a number of libraries of a shared catalog. Catalogs should be subject to continual editing to keep them abreast of modern terminology and contemporary practice.

3.1.1 *The catalog shall be in a format that can be consulted by a number of users concurrently.*

Commentary

A public catalog in any format can satisfy this Standard if it is so arranged that the library's users normally encounter no delay in gaining access to it. While this is rarely a problem with the card catalog, the implementation of a microform, book, or online catalog requires that a sufficient number of copies (or terminals) be available to minimize delay in access at times of heavy demand.

3.1.2 *In addition to the union catalog there shall also be requisite subordinate files to provide bibliographic control and access to all library materials.*

Commentary

Proper organization of the collections requires the maintenance of a number of subordinate files, such as authority files and shelf lists, and of complementary catalogs, such as serial holdings records. Information contained in these files should also be available to library users. In addition, the content of library materials such as journals, documents, and microforms should be made accessible through indexes in printed or computer-based format.

3.2 *Library materials shall be arranged to provide maximum accessibility to all users. Certain categories of materials may be segregated by form for convenience.*

Commentary

Materials should be arranged so that related information can be easily consulted. Some materials such as rarities, manuscripts, or archives, may be segregated for purposes of security and preservation. Materials in exceptionally active use, reference works, and assigned readings, may be kept separate as reference and reserve collections to facilitate access to them. Audiovisual materials, maps, and microforms, are examples of resources that may be awkward to integrate physically because of form and may need to be segregated from the main collection. Fragmentation of the collections should be avoided wherever possible, however, with the bulk of the collections shelved by subject in open stack areas to permit and encourage browsing.

3.3 *Materials placed in storage facilities shall be readily accessible to users.*

Commentary

Many libraries or groups of libraries have developed storage facilities for low-use materials such as sets or backruns of journals. These facilities may be situated on campus or in remote locations. The materials housed in these facilities should be easily identifiable and readily available for use in a timely fashion. If direct user access is not possible, a rapid retrieval system should be provided.

Standard 4: Staff

4 *The staff shall be of adequate size and quality to meet the library's needs for services, programs, and collection organization.*

Commentary

The college library shall need a staff composed of qualified librarians, skilled support personnel, and part-time assistants to carry out its stated objectives.

4.1 *Librarians, including the director, shall have a graduate degree from an ALA accredited program, shall be responsible for duties of a professional nature, and shall participate in library and other professional associations.*

Commentary

The librarian has acquired through education in a graduate school of library and information science an understanding of the principles and theories of selection, acquisition, organization, interpretation and administration of library resources. It should be noted, that the MLS is regarded as a terminal professional degree by ALA and ACRL. Moreover, developments in computer and information technology have had a major impact on librarianship requiring further that librarians be well informed in this developing area.

Librarians shall be assigned responsibilities which are appropriate to their education and experience and which encourage the ongoing development of professional competencies. Participation in library and other professional associations on and off campus is also necessary to further personal development.

4.2 *Librarians shall be organized as a separate academic unit such as a department or a school. They shall administer themselves in accord with ACRL "Standards for Faculty Status for College and University Librarians" and institutional policies and guidelines.*

Commentary

Librarians comprise the faculty of the library and should organize, administer, and govern themselves accordingly. The status, responsibilities, perquisites and governance of the library faculty shall be fully recognized and supported by the parent institution.

4.3 *The number of librarians required shall be determined by a formula (see Formula B) and shall further take into consideration the goals and services of the library, programs, degrees offered, institutional enrollment, size of faculty and staff, and auxiliary programs.*

Commentary

Formula B is based on enrollment, collection size, and growth of the collection. Other factors to be considered in determining staff size are services and programs, degrees offered, size of the faculty and staff, and auxiliary programs. Examples of services and programs include reference and information services, bibliographic instruction, computer-based services, collection development, and collection organization. In addition, auxiliary programs, *e.g.*, extension, community, and continuing education, as well as size and configuration of facilities and hours of service, are factors to be considered for staff size.

4.4 *The support staff and part-time assistants*

FORMULA B—

Enrollment, collection size and growth of collection determine the number of librarians required by the college and 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 90–100 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 75–89 percent of these requirements may rate themselves as B; those with 60–74 percent of requirements qualify for a C; and those with 50–59 percent of requirements warrant a D.

shall be assigned responsibilities appropriate to their qualifications, training, experience and capabilities. The support staff shall be no less than 65% of the total library staff, not including student assistants.

Commentary

Full-time and part-time support staff carry out a wide variety of paraprofessional, technical, and clerical responsibilities. A productive working relationship between the librarians and the support staff is an essential ingredient in the successful operation of the library. In addition student assistants provide meaningful support in accomplishing many library tasks.

4.5 *Library policies and procedures concerning staff shall be in accord with institutional guidelines and sound personnel management.*

Commentary

The staff represents one of the library's most important assets in support of the instructional program of the college. Its management must be based upon sound, contemporary practices and procedures consistent with the goals and purposes of the institution, including the following:

1. Recruitment methods should be based upon a careful definition of positions to be filled and objective evaluation of credentials and qualifications.
2. Written procedures should be developed in accordance with ACRL and institutional guidelines, and 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/her responsibilities.
4. Rates of pay and benefits of library staff should be equivalent to other positions on campus requiring comparable backgrounds.
5. There should be a structured program for orientation and training of new staff members, and career development should be provided for all staff.
6. Supervisory staff should be selected on the basis of job knowledge, experience and human relations skills.
7. Procedures should be maintained for periodic review of staff performance and for recognition of achievement.

For references, the following documents may be consulted: "Guidelines and Procedures for the Screening and Appointment of Academic Librarians," *C&RL News*, September 1977, pp.231–33; "Model Statement of Criteria and Procedures for Appointment, Promotion in Academic Rank, and Tenure for College and University Librarians," *C&RL News*, September and October 1973, pp.192-95, 243–47; "Statement on the Terminal Professional Degree for Academic Librarians," Chicago: ACRL, 1975.

Standard 5: Service

5 *The 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.*

Commentary

The primary purpose of college library service is to promote and support the academic program of the parent institution. Services should be developed for and made available to all members of the academic community, including the handicapped and non-traditional students. The successful fulfillment of this purpose will require that librarians work closely with classroom faculty to gain from them a clear understanding of their educational

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Supplementary Staffing Factors To Be Considered

Organizational and Institutional

The individual library's organization and institutional factors also influence its staffing needs. Additional factors to be considered are as follows:

Library
Services and Programs
Size and Configuration of Facilities
Hours of Service

Institutional
Degrees Offered
Size of Faculty and Staff
Auxiliary Programs

Examples of Services and Programs
Reference and Information
Bibliographic Instruction
Computer Based Services
Collection Development
Collection Organization
Archives
Audiovisual Services

Examples of Institutional Factors
Undergraduate Programs
Graduate Programs
Research
Community
Continuing Education

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objectives and teaching methods and to communicate to them an understanding of the services and resources which the library can offer. While research skills and ease of access to materials will both serve to encourage library use, the primary motivation for students to use the library originates with the instructional methods used in the classroom. Thus, close cooperation between librarians and classroom instructors is essential. Such cooperation must be a planned and structured activity and requires that librarians participate in the academic planning councils of the institution. They should assist teaching faculty in appraising the actual and potential library resources available, work closely with them in developing library services to support their instructional activities, and keep them informed of library capabilities.

5.1 *The library shall provide information and instruction to the user through a variety of techniques to meet differing needs. These shall include, but not be limited to, a variety of professional reference services, and bibliographic instruction programs designed to teach users how to take full advantage of the resources available to them.*

Commentary

A fundamental responsibility of a college library is to provide instruction in the most effective and efficient use of its materials. Bibliographic instruction and orientation may be given at many levels of sophistication and may use a variety of methods and materials, including course-related instruction, separate courses (with or without credit), and group or individualized instruction.

Of equal importance is traditional reference service wherein individual users are guided by librarians in their appraisal of the range and extent of the library resources available to them for learning and research. Professional services are optimally available all hours the library is open. Use patterns should be studied to determine those times when the absence of professional assistance would be least detrimental. The third major form of information service 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.

Many of the services suggested in this commentary can be provided or enhanced by access to computerized forms of information retrieval. In fact many information sources are available only in computerized format, and every effort should be made to provide access to them. Services may be provided in person or by other measures such as videocassette, computer slide tape, or other appropriately prepared programs.

5.2 *Library materials of all types and formats that can be used outside the library shall be circulated to qualified users under equitable policies without jeopardizing their preservation of availability to others.*

Commentary

Circulation of library materials should be determined by local conditions which will include size of the collections, the number of copies, and the extent of the user community. Every effort should be made to circulate materials of all formats that can be used outside the library without undue risk to their preservation. Circulation should be for as long a period as is reasonable without jeopardizing access to materials by other qualified users. 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 users. The accessibility of materials can also be extended through provision of inexpensive means of photocopying within the laws regarding copyright.

5.2.1 *The quality of the collections shall be enhanced through the use of interlibrary loan and other cooperative agreements.*

Commentary

Local resources should be extended through reciprocal agreements for interlibrary loan according to the ALA codes. Access to materials should be by the most efficient and rapid method possible, incorporating such means as delivery services and electronic mail in addition to, or in place of, traditional forms of delivery. First consideration must always go to the primary users, but strong consideration should be given to fostering the sharing of resources.

5.2.2 *Cooperative programs, other than traditional interlibrary loan, shall be encouraged for the purpose of extending and increasing services and resources.*

Commentary

The rapid growth of information sources, the availability of a myriad of automation services, and the development of other technologies such as laser beam, videodiscs, microcomputer systems, etc., make new demands on budgets. Cooperation with other institutions, and particularly with multi-type library organizations, often becomes a necessity. It must be recognized that this does not only involve receiving but demands a willingness to give or share on the part of each library. This may mean a commitment of time, money, and personnel, but it is necessary if it is the only way to provide up-to-date services to users. Careful weighing of costs and benefits must be undertaken before such agreements are put into effect.

5.3 *The hours of access to the library shall be consistent with reasonable demand.*

Commentary

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 need. In some institutions users may need access to study facilities and to the collections, in whole or in part, during more hours of the week than they require the personal services of librarians. However, during the normal hours of operation the users deserve competent, professional service. The high value of the library's collections, associated materials, and equipment, etc., dictates that a responsible individual be in control at all times. The public's need for access to librarians may range upward to one hundred hours per week, whereas around-the-clock access to the library's collection and/or facilities may in some cases be warranted.

5.4 *Where academic programs are offered at off-campus sites, library services shall be provided in accord with ACRL's "Guidelines for Extended Campus Library Services."*

Commentary

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 Extended Campus Library Services." These guidelines suggest 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. Services should be designed to meet the different information and bibliographic needs of these users.

Standard 6: Facilities

6 *The library building shall provide secure and adequate housing for its collections, and ample well-planned space for users and staff and for the provision of services and programs.*

Commentary

Successful library service presupposes an adequate library building. Although the type of building will depend upon the character and purposes of the institution, it should in all cases be functional, providing secure facilities for accommodating the

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, the size of the staff and its space requirements, and the number of volumes in the collections. To the result of this calculation must be added such space as may be required to house and service nonprint materials and microforms, to provide bibliographic instruction to groups, and to accommodate equipment and services associated with various forms of library technology.

a. Space for users. The seating requirement for the library of a college where less than fifty percent of the FTE enrollment resides on campus shall be one for each five students. That for the library of a typical residential college shall be one for each four FTE students. Each study station shall be assumed to require 25 to 35 square feet of floor space, depending upon its function.

b. Space for books. The space allocated for books shall be adequate to accommodate a convenient and orderly distribution of the collection according to the classification system(s) in use, and should include space for growth. Gross space requirements may be estimated according to the following formula.

	Square Feet/Volume
For the first 150,000 volumes	0.10
For the next 150,000 volumes	0.09
For the next 300,000 volumes	0.08
For holdings above 600,000 volumes	0.07

c. Space for staff. Space required for staff offices, service and work areas, catalogs, files, and equipment, shall be approximately one-eighth of the sum of the space needed for books and users as calculated under a) and b) above.

This formula indicates the net assignable area required by a library if it is to fulfill its mission with maximum effectiveness. "Net assignable area" is the sum of all areas (measured in square feet) on all floors of a building, assignable to, or useful for, library functions or purposes. (For an explanation of this definition see *The Measurement and Comparison of Physical Facilities for Libraries,* American Library Association, 1970.)

Libraries which provide 90 to 100% of the net assignable area called for by the formula shall be graded A in terms of space; 75–89% shall be graded B; 60–74% shall be graded C; and 50–59% shall be graded D.

library's resources, sufficient space for their administration and maintenance, and comfortable reading and study areas for users. A new library building should represent a coordinated planning effort involving the library director and staff, the college administration, and the architect, with the director responsible for the preparation of the building program.

The needs of handicapped persons should receive special attention and should be provided for in compliance with the Architectural Barriers Act of 1968 (Public Law 90-480) and the Rehabilitation Act of 1973, Section 504 (Public Law 93-516) and their amendments.

Particular consideration must be given to any present or future requirements for equipment associated with automated systems or other applications of library technology. Among these might be provision for new wiring, cabling, special climate control and maximum flexibility in the use of space. Consideration should also be given to load-bearing requirements for compact shelving and the housing of mixed formats including microforms.

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 *In designing or managing a library building, the functionality of floor plan and the use of space shall be the paramount concern.*

Commentary

The quality of a building is measured by such characteristics as the utility and comfort of its study and office areas, the design and durability of its furniture and equipment, the functional interrelationships of its service and work areas, and the ease and economy with which it can be operated and used.

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

Commentary

Decentralized library facilities in a college have some virtues, and they present some difficulties. Primary among their virtues is their convenience to the offices or laboratories of some members of the teaching faculty. Primary among their weaknesses is the resulting fragmentation of the unity of knowledge, the relative isolation of a branch library from most users, potential problems of staffing and security, and the cost of maintaining certain duplicative services or functions. When decentralized library facilities are being considered, these costs and benefits must be carefully compared. In general, experience has shown that decentralized library facilities may not be in the best academic or economic interest of a college.

Standard 7: Administration

Matters pertaining to college library administration are treated in the several other Standards. Matters of personnel administration, for example, are discussed under Standard 4, and fiscal administration under Standard 8. Some important aspects of library management, however, must be considered apart from the other Standards.

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

Commentary

The function of a library administrator is to direct and coordinate the components of the library—its staff, services, collections, buildings and external relations—so that each contributes effectively and imaginatively to the mission of the library.

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

Commentary

In order for the library to function effectively, there must first be an articulated understanding within the college as to the statutory or legal basis under which the library operates. This may be a college bylaw, a trustee minute, or a public law which shows the responsibility and flow of authority under which the library is empowered to act.

7.2 *The library director shall be an officer of the college and shall report to the president or the chief academic officer of the institution.*

Commentary

For the closest coordination of library activities with the instructional program, the library director should report either to the president or the chief officer in charge of the academic affairs of the institution.

7.2.1 *The responsibilities and authority of the library director and procedures for appointment shall be defined in writing.*

Commentary

There should be a document defining the responsibility and authority vested in the office of the library director. This document may also be statutorily based and should spell out, in addition to the scope and nature of the director's duties and powers, the procedures for appointment.

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

Commentary

This committee—of which the library director should be an ex officio member—should be used to convey both an awareness to the library of its users' concerns, perceptions and needs, and an understanding to users of the library's objectives and capabilities. The charge to the committee should be specific and in writing.

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

Commentary
Written policies and procedures manuals are required for good management, uniformity, and consistency of action. They also aid in training staff and contribute to public understanding.

7.4.1. *The library shall maintain a systematic and continuous program for evaluating its performance, for informing the community of its accomplishments, and for identifying needed improvements.*

Commentary
The library director, in conjunction with the staff, should develop a program for evaluating the library's performance. Objectives developed in accordance with the goals of the institution should play a major part in this evaluation program. Statistics should be maintained for use in reports, to demonstrate trends, and in performance evaluation. In addition, the library director and staff members should seek the assistance of its standing library advisory committee and other representatives of the community it serves.

7.5 *The library shall be administered in accord with the spirit of the ALA "Library Bill of Rights."*

Commentary
College libraries should be impervious to the pressures or efforts of any special interest groups or individuals to shape their collections and services. This principle, first postulated by the American Library Association in 1939 as the "Library Bill of Rights," (amended 1948, 1961, 1967 and 1980 by the ALA Council) should govern the administration of every college library and be given the full protection of the parent institution.

Standard 8: Budget

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

Commentary
The library budget is a function of program planning and defines the library's objectives in fiscal terms. The objectives formulated under Standard 1 should constitute the base upon which the library's budget is developed.

8.1 *The library's appropriation shall be six percent of the total institutional budget for educational and general purposes.*

Commentary
The degree to which the college is able to fund the library in accord with institutional objectives is reflected in the relationship of the library appropriation to the total educational and general budget of the college. It is recommended that library budgets, exclusive of capital costs and the costs of physical maintenance, not fall below six percent of the college's total educational and general expenditures if it is to sustain the range of library programs required by the institution and meet appropriate institutional objectives. This percentage should be greater if the library is attempting to overcome past deficiencies, or to meet the needs of new academic programs. The 6% figure is intended to include support for separately established professional libraries, providing the budget for those schools is incorporated into that of the University.

Factors which should be considered in formulating 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;
6. The range of services offered by the library, for example, the number of service points maintained, the number of hours per week that service is provided, the level of bibliographic instruction, online services, etc.;
7. The extent of automation of operations and services, with attendant costs;
8. The extent to which the library already meets the College Library Standards.

8.1.1 *The library's appropriation shall be augmented above the six percent level depending upon the extent to which it bears responsibility for acquiring, processing, and servicing audiovisual materials and microcomputer resources.*

Commentary
It is difficult for an academic library that has not traditionally been purchasing microcomputer and audiovisual materials to accommodate such purchases without some budgetary increase. The level of expenditure depends upon whether or not the institution has an audiovisual center separate from the library that acquires and maintains both audiovisual materials and hardware as well as a computer center that absorbs all costs related to microcomputer resources, even those included in the library.

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

Commentary

Procedures for the preparation and defense of budget estimates, policies on budget approval, and regulation concerning accounting and expenditures vary from one institution to another. The library director must know and conform to local procedure. Sound practices of planning and control require that the director have sole responsibility and authority for 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% of the library's budget is normally allocated to acquisition of resources, and between 50% and 60% is expended for personnel.

8.3 *The library shall maintain internal accounts for approving its invoices for payment, monitoring its encumbrances, and evaluating the flow of its expenditures.*

Commentary

Periodic reports are necessary and provide an accurate account of the funds allocated to the library. They should be current and made accessible for fiscal accountability.

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Guidelines on the selection of general collection materials for transfer to special collections

By the RBMS Ad Hoc Committee for Developing Transfer Guidelines
Samuel A. Streit, Chair

The final version that was approved by the ALA Standards Committee (January 1988).

Many libraries intentionally acquire rare books, documents and manuscripts, but virtually all libraries acquire books and documents which, with time and changing circumstances, and regardless of intention, become rare. Over time, they acquire a special cultural and historical value, and sometimes a significant financial value in the market place, as well. The following guidelines relate to librarians' responsibility to identify rare and valuable materials in general and open stack collections and to arrange for their transfer to the greater security of special collections departments.*

These guidelines reflect two pervasive and underlying conditions which influence both the formulation and the administration of transfer policy: the identification of the rare and special, and the complex interaction of library departments required to effect changes in the records by which readers are informed of the location of materials.

Transfer policies and procedures will vary from institution to institution, depending on staffing, physical setting, and use of the collections; these guidelines are written to identify the general topics to be considered in an adequate transfer program.

The transfer policy

A successful transfer program depends upon cooperation and coordination at every level of the library organization. Both will be assisted considerably by a written policy statement. In developing the policy, it is essential to obtain the sanction of the library's senior administration. The policy should be written by those who are administratively responsible for the transfer program, usually the head of Special Collections, the Collection Development Officer, or the two in concert. The development of selection criteria and transfer procedures depends upon wide agreement among, and must involve all relevant components of, the library: these will generally include Special Collections, Reference, Cataloging, Gifts, Circulation, Preservation and Collection Development and may include systems representatives in libraries un-

*While some libraries have had a good experience with intermediate, restricted access collections, others have not. The wisdom of whether to form them seems to depend on circumstances peculiar to a particular library and is not addressed in these guidelines. Note, however, that their use requires policy decisions regarding what to transfer and how to do so which are parallel to those considered here.

dergoing automation.

The transfer policy must:

1. promulgate publicly the library's definition of, and policy toward, rare and special collections, strongly justifying the measures being taken to protect rare materials, and describing how these measures will enhance the institution's resources in carrying out its mission;

2. establish firm lines of authority for the conduct of an economical and expeditious program;

3. list the criteria of rarity being used in selecting transfer items, which may be influenced to some extent by the nature and strengths of the library's general and special collections;

4. set forth clear procedures to be followed in the transfer process, including procedures for recommending transfer, altering bibliographic and circulation records, and inspection by the Preservation Officer; and

5. stipulate procedures whereby readers can request individual transfer items.

In many institutions it will be useful to solicit comments from faculty, students and/or other well-informed researchers, consult with staff at other libraries, or bring in a consultant to review or advise on statement preparation.

Once completed, the policy should be approved by the library's senior administration and incorporated into the library's overall collection development policy.

Transfer procedures

A transfer program has three phases:

1. identification of materials which fit the selection criteria;
2. physical relocation and processing; and
3. record changes.

1. Identification of materials

Ideally, a transfer program will systematically inventory large segments of the general collections, examining each item individually and reviewing the bibliographic records for each: catalog cards, computerized records, accession or shelf list and so on.

Few libraries, however, will find such a comprehensive review possible. They will opt instead to review materials and records selectively, perhaps as part of a program with another purpose. Regardless of how broadly, or narrowly, based the transfer program is, the direct inspection of both individual transfer candidates and their corresponding bibliographic records is usually essential. A selective program based on knowledge of the history of the collection and designed to review areas of known strength may meet a substantial part of the need.

A selective review may include any of the following:

a. reading the shelves (or examining the shelf list) in classifications known—or thought—to contain candidates for transfer, such as early or local imprints;

b. reviewing chronological files for early imprints of particular interest and value; or

c. producing from machine-readable records review lists based on imprint date, place of publication, literary genre or subject, or any combination of similar keys.

Rare material may be identified during the routine handling and review of materials for the following library functions:

a. acquisitions;
b. gifts and exchange;
c. cataloging;
d. preservation;
e. binding;
f. photoduplication;
g. microreproduction;
h. circulation;
i. inventorying and shelf-reading;
j. interlibrary loan;
k. preparation of exhibitions;
l. collection surveys;
m. retrospective conversion or records; and
n. weeding.

Any of these activities may incidentally locate multiple copies in the collection, the retention or disposal of which will be determined by local policy.

2. Conservation treatment

Conservation treatment should be considered carefully as a component of the transfer policy. Such treatment (e.g., label removal, repair, phase boxing, complete restoration) for individual items is desirable. But it may create backlogs or funding requirements which complicate the transfer program. The simplest physical treatment may prove most effective or most immediately cost-effective. The transfer program may provide information that will prove useful for more extensive restoration of transferred items at a later date.

3. Record changes

A means must be devised, as part of the transfer program, to inform readers promptly when the location of an item has been changed. The most effective way to do this is through recataloging. This may, however, prove beyond the means of libraries faced with the transfer of a substantial number of items.

The following techniques have obvious attractions (economic) and disadvantages (reduced access to the collections). Still, a library might choose to:

a. annotate (or jacket) catalog cards; all cards might be treated or, less successfully, only some (e.g., main entry);

b. charge transferred items via a circulation record;

c. indicate in machine readable records a change in location;

d. place a dummy in the old location to refer to the new;

c. transfer all materials published prior to a stated date (e.g., 1751 or 1801) in some or all subject classifications without record changes but with general publicity. This systematic change has been received well in some libraries.

What to transfer

The transfer decision should simultaneously evaluate the unique qualities of an item and apply institutional policy. Thus the candidate for transfer (e.g., an 18th-century book) may fall within the scope of an existing special collections or rare book collection development policy. Selection for transfer implies that all similar items in the collection (e.g., all books in original bindings printed before 1751) ought also be considered.

The constraints on policy are familiar: The institutional mission and the resources—personnel, space and equipment, technology, and budget—needed to conduct that mission. The interaction between mission and resources dictates realism and, often, compromise. Defining what is rare or unique is not always obvious, and decisions will vary among institutions. Still, certain general criteria apply in evaluating an item for transfer:

1. age;
2. intrinsic characteristics and qualities;
3. condition;
4. bibliographical, research or market value.

1. Age

The longer an item has survived, the more worthwhile saving it probably becomes; as an item ages it becomes one of a decreasing number of witnesses to its own time. Consequently there is now universal agreement on the need to protect 15th-century printing, even if fragmentary or present in "leaf" books. There is growing agreement on the same grounds to protect all materials, regardless of form or condition, printed before 1801. There is less general agreement on books of later date and on "regional incunables"—books published in a locality or region in the first years (or decades) after printing was established in them—in spite of a consensus that responsibility for them must somehow be distributed among many institutions.

2. Intrinsic characteristics

Books may possess intellectual value, artifactual value, or both. For those books of intellectual but not artifactual value institutional circumstances *may* necessitate partial or complete substitution of the original by microform or photocopy. But items with artifactual value, e.g., finely printed or bound books, manuscripts, drawings or other original art work including tipped-in photographs, require special protection of the objects themselves. Such material will require transfer.

It is generally recognized that miniature books (10 centimeters or smaller) are too vulnerable for open stacks and that many books with prints and original photographs—often produced in limited quantities—are vulnerable to mutilation and deserve protection.

Other categories on which there is wide, but not always general, agreement include:

a. fine and signed bindings;
b. early publishers' bindings;
c. extra-illustrated volumes;
d. books with significant provenance;
e. books with decorated end papers;
f. fine printing;
g. printing on vellum or highly unusual paper;
h. volumes or portfolios containing unbound plates;
i. books with valuable maps;
j. broadsides, posters and printed ephemera;
k. books by local authors of particular note;
l. material requiring security (e.g., books in unusual formats, erotica or materials that are difficult to replace).

3. Condition

While age itself dictates transfer for our oldest surviving books, condition may be more important in judging more recent material. All values of the book—scholarly, bibliographical, and market—may be greatly affected by condition. Copies that are badly worn, much repaired or rebound, should not automatically be considered for transfer, unless the age of the material preempts condition as a criterion.

The durability of most library materials produced since the mid-nineteenth century has declined drastically. It is now increasingly difficult to locate even representative examples of many nineteenth and twentieth century printing and binding processes in fine original condition. So many volumes have required rebinding, for example, that the richness of the original decorative art applied to bindings and printed endpapers is increasingly difficult to find and study. Therefore, less than fine copies must be scrutinized as possible transfer items.

Many twentieth century books have been issued in dustjackets which "general" libraries often (and for good reasons) discard. Nonetheless, dustjackets, like other ephemera, frequently contain important information (e.g., text, illustrative design, and price), and serious consideration should be given to their retention.

4. Bibliographical, research or market value

The rarity and importance of individual books are not always self-evident. Some books, for example, were produced in circumstances which virtually guarantee their rarity (e.g., Confederate imprints).

Factors affecting importance and rarity can include the following:

1. desirability to collectors and the antiquarian book trade;

2. intrinsic or extrinsic evidence of censorship or repression;

3. seminal nature or importance to a particular field of study or genre of literature;

4. restricted or limited publication;

5. the cost of acquisition.

Older reference works and early periodicals still needed for general use frequently become quite valuable and may require careful consideration for transfer, especially if facsimile or other reprint editions are available to replace them on the open shelves.

Selected reading

The development, definition and updating of a transfer policy is a complex and ongoing process. It requires the exercise of imagination and good judgment, and profits from wide and informed reading. Although there is no literature dealing with transfer *per se*, the following books, selected from the large literature of books about books and book collecting, may provide special help to those charged with forming and reforming their library's policies.

1. Brook, G.L. *Books and Book Collecting*. London: Andre Deutsch, 1980.
2. Carter, John. *ABC for Book Collectors*, 6th ed. rev. by Nicolas Barker. London: Granada Books, 1980.
3. Carter, John. *Taste and Technique in Book Collecting*. London: Private Libraries Assoc., 1982.
4. Cave, Roderick. *Rare Book Librarianship*. 2nd rev. ed., New York: R.R. Bowker, 1983.
5. Gaskell, Philip. *A New Introduction to Bibliography*. New York: Oxford University Press, 1972.
6. Peters, Jean, ed. *Book Collecting: A Modern Guide*. New York: R.R. Bowker, 1977.
7. Peters, Jean. *Collectible Books: Some New Paths*. New York: R.R. Bowker, 1979.
8. Schreyer, Alice D. *Rare Books, 1983–84*. New York: R.R. Bowker, 1984.

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Guidelines for the Security of Rare Book, Manuscript, and Other Special Collections (Draft II)

Editor's Note: Draft II of this document, prepared by the ACRL Rare Book and Manuscripts Section's Ad Hoc Committee on Security, was approved by the RBMS Executive Committee, Monday, 25 January 1982.

Your comments are invited. Send them to: Peter E. Hanff, Chair, RBMS Committee on Security, Technical Services, Bancroft Library, University of California, Berkeley, CA 94720.

I. Introduction

One of the major problems in the administration of rare book, manuscript, and other special collections is the security of those collections. Thefts have greatly increased in the past few years because of the availability and ever increasing value of materials. This problem has compounded the difficulties of rare book and manuscript dealers, who may unknowingly sell stolen materials. Rare book, manuscript, and other special collection administrators have the responsibility of securing their collections from theft. Security arrangements will vary from institution to institution, depending on staffing, physical setting, and use of the collections; these guidelines are written to identify the general topics to be considered in an adequate security program.

II. The Security Officer

A senior staff member should be named Security Officer, with the responsibility and authority to carry out the security program. The identity of the Security Officer should be made widely known, especially among those persons responsible for handling incoming telephone calls and letters. The Security Officer's first priority should be to plan a program, starting with a survey of the collections, including physical layout and staff, and seeking the advice and assistance of appropriate personnel, life safety officers, and of outside consultants from law enforcement agencies and insurance companies. The Security Officer may recommend that a Security Task Force be named to bring problem areas to the Officer's attention and to recommend solutions. A security consultant may be brought in to assist in determining the major threats to the collection and high-risk areas of vulnerability.

III. The Security Policy

A policy on the security of the collections should be written by the Security Officer, in consultation with the administration, staff, legal authorities, and other knowledgeable persons. The policy should include a "standing operating procedure" on dealing with possible theft: determining suspected thieves, reporting thefts to the proper authorities within an organization, and to the local and (where appropriate) national legal authorities. The Security Policy should be kept up-to-date with current names and telephone numbers.

IV. The Special Collections Building or Area

The special collections building or area should have as few access points as possible, with the same entry and exit for both patrons and staff. The public should have access only to the public areas, not work areas or stack space. A reading room or search room should be identified as the only area in which materials may be used, and readers must be carefully watched at all times by staff trained for this purpose. A visible security guard or staff member should check readers before they go into the secure area, and when they leave the area. Keys are especially vulnerable items; the keys to secure areas should be issued on an as-needed basis to staff, with master keys secured against easy access. There should be a control/check-out system for all keys.

V. The Staff

An atmosphere of trust and mutual concern for the collections is probably the best insurance against theft by the staff, although close and equitable supervision is essential. The staff should be chosen carefully, and background checks should be made at the time of hiring. Bonding of the staff should be considered. A major weak point in any security system is disgruntled staff who may seek revenge through the destruction of collections. Staff should know their responsibility for security and know their legal rights in handling possible problems. Staff should also adhere to the same security procedures as readers, in eneral including keeping records of use of materials by staff, checking their belongings when entering and leaving the secure area, and keeping unnecessary personal items out of the secure work areas. The Security Officer should make training the staff in security measures a high priority.

VI. The Readers

The special collections administrator must carefully balance the responsibility to make materials available to researchers with the responsibility to ensure the security of the materials. Readers should be required to present photographic identification and a reasonable explanation of their need to use the materials. This check is especially important in the use of archival and manuscript collections. Each reader should have an orientation to the collections and to the security procedures before using the collections. Readers should not be allowed to take extraneous personal materials (for example, notebooks, briefcases, heavy coats, books, or voluminous papers) into the reading room. Lockers or some kind of secure area should be provided for personal items. The readers should be watched at all times, and not allowed to hide their work behind bookcases, booktrucks, piles of books, or any other obstacles. Readers should be limited to only those books, manuscripts, or other items which are needed at one time to perform the research at hand. Each item should be checked before being given to the reader, and when returned. Readers should be required to return all library materials before leaving the reading room area, even if they plan to return later in the day to continue their research. Readers should not be allowed to trade materials, nor to have access to materials another reader has checked out. The special collections staff must be able to identify who has used which material by keeping adequate check-out records. These records should be kept indefinitely.

VII. The Collections

Administrators of special collections must be able to identify the materials in their collections. There are several means to this end. For example, adequate accession records should be kept, and cataloging and listings in finding aids should be as detailed as possible. Other means are records and lists kept to fulfill the requirements of insurance policies. Unprocessed materials should not be made available to researchers without careful checking. There are several ways of making the materials themselves identifiable: marking with indelible ink following the RBMS Guidelines for Marking (see Appendix below), other forms of marking, and keeping photocopies of valuable materials. Condition reports have also proved useful. Marking or photocopying must of necessity in most collections be a selective process, with careful thought given to which materials are to be so protected. The more valuable items may also be segregated from the collections into higher security areas and not released to readers except under special circumstances.

VIII. The Legal Responsibilities

The administrators of special collections must know the laws for dealing with theft applicable in their political and geographical area. Staff members must know their legal rights in stopping thefts, while not infringing on the rights of the suspected thief. The administrator must report any thefts to the law enforcement agencies with jurisdiction in the area, and must take responsibility to prosecute thieves. Materials stolen should be reported to Bookline Alert: Missing Books and Manuscripts (BAMBAM), 121 East 78th Street, New York, NY 10027, telephone (212) 737-2715, a national program for theft control, endorsed by the Rare Books & Manuscripts Section of ACRL. An additional possibility is an advertisement in the Stolen Books column of *AB Bookman's Weekly* (P.O. Box AB, Clifton, NJ 07015). Listings in BAMBAM (which may be done anonymously) and in *AB Bookman's Weekly* will help to prevent unknowing transfer of stolen materials and to facilitate their return.

IX. Conclusion

Security is a major concern of the entire special collections community and must be addressed in each individual repository. These Guidelines are necessarily brief; further information is available through the professional literature, professional organizations, and consultants both within the rare book, manuscript, and special collections community and in law enforcement and insurance professions. It is perhaps the most important and most difficult area of special collections administration. Still, the efforts of the entire staff with the final responsibility vested in one senior staff member, consultation and cooperation with local and other law enforcement agencies, and reporting losses to proper authorities will result in deterring thieves and in recovering materials when stolen.

Appendix:
Guidelines for Marking Rare Books, Manuscripts, and other Special Collections

I. Introduction

There has been much thoughtful discussion in recent years regarding the appropriateness of permanently marking rare books, manuscripts, and other special collections. The guidelines which follow are intended to aid those libraries and other institutions which have decided that they will mark their materials. The guidelines are intended primarily to provide as consistent and uniform a practice as possible, given the variety and special nature of the materials concerned. They are addressed only to those libraries and other institutions who elect to use marking as part of their overall security arrangements; and they attempt to strike a balance between the implications of two major considerations: deterrence (visibility, permanence) and integrity of the document (both physical and aesthetic).

II. General Recommendations

General recommendations are:

1. That a form of permanent ink be used for marking.

2. That secret marking as a primary identification device be avoided.

3. That the ownership mark be placed where it can easily be located (but not in a place that is too prominent or disfiguring).

4. That it be placed away from text or image on both sides of the leaf.

For the sake of uniformity and other advantages, marking in ink has been preferred to embossing or perforating. Visible marking is meant to reduce or obviate the need for secret marking, which lacks an immediate deterrence value. Placement of the ownership mark will always be a matter of careful and trained judgment, varying according to each document. For the purposes of these guidelines, the place selected should be as close to the lower portion as possible, on the verso, at a site that is blank on both sides of the leaf, and removed sufficiently from the text or image on the side of the leaf on which it is placed to avoid disfigurement or confusion. Where circumstances or peculiarities of the item do not allow the above to be readily followed, marking may be deferred until further consensus is reached.

III. Specific Recommendations

Marks should be located as follows:

1. *Medieval and Renaissance Manuscripts.* On the verso of the first leaf of principal text, on the inner margin, approximate to the last line of text.

Additional markings may be needed when the item is a composite manuscript or otherwise has a substantial text that may be broken away without noticeable injury to the volume. The location of each subsequent marking would be the same, i.e. lower inner margin, approximate to the last line of the text. When the manuscript is too tightly bound to mark in the inner margin, alternate locations may be made in any blank area of the verso, as close to the lower portion of the text as possible. The mark should be so placed that it may not be excised without extreme cropping. (In manuscripts of double columns the mark might be located in the blank area between the two columns).

2. *Incunabula and Early Printed Books.* On [the verso] of the first leaf of principal text on the [inn]er margin, approximate to the last line of text. Follow the same instructions as given under Medieval and Renaissance Manuscripts above, with the same precautions and alternatives.

3. *Leaf Books, Single Leaves from Manuscripts, &c.* On either verso or recto, at the lower portion of the text or image of each leaf. The choice may be determined by the document itself if one of the sides has more importance (owing to an illustration, manuscript annotation, etc.). The ownership mark should then be placed on the reverse side.

4. *Broadsides, Prints, Maps, Single Leaf Letters and Documents.* On the verso, in the lower margin of the area occupied by text or image on the opposite side. Care should be taken here to insure that the specific area is blank on the side opposite to that which is to carry the mark. If the back side is entirely blank, the ownership mark may be placed freely in areas other than the lower margin.

5. *Multiple Leaf Manuscript Letters, Documents, Newspapers, Ephemera.* On the verso of the first leaf in the lower margin. It may be appropriate to place an additional mark later in the work if a portion (such as a famous signature, paper seal, first appearance of a poem, etc.) would have independent value if detached or excised.

6. *Modern Printed Books, Pamphlets, Serial Issues.* On the verso of the first leaf of the opening text, directly below the first line. The placement here is designed to spare the title-page, half-title, dedication page, etc., which in many valuable productions have a separate aesthetic appeal not to be disfigured even on the verso. As in the case of multiple-leaf materials (see above, no. 5) additional markings may be indicated for those internal items (illustration, maps, etc.) that may have separate marketable value.

IV. Kind of Ink and Equipment

The ink used should be permanent (i.e. sufficiently difficult to remove to act in most cases as a deterrent), inert in itself and in conservation treatment, and able to be applied in minute quantity. The ink and equipment (rubber stamp and balsa wood pad) described in the Library of Congress's Preservation Leaflet No. 4, Marking Manuscripts, may serve as an example.

V. Form and Size of Mark

The size should be kept to a minimum (ca. 5-point type size for lettering). The form should be made up of initials identifying the institution as succinctly as possible, based on the National Union Catalog symbols, and suitable for arranging in lists to circulate to dealers, auction houses, collectors, etc.

VI. Cancellation of Mark

Do not attempt to obliterate marks of ownership made according to these guidelines, even in the event that the material is to be deaccessioned. No system has yet been devised for cancelling marks which cannot be imitated with relative ease by thieves, and there seems no alternative but to assume permanent responsibility for the fact of one's mark of ownership in a book, manuscript, or other document. Permanent records should be kept of deaccessioned material containing marks of ownership made according to these guidelines, and the material itself when released should be accompanied by a signed letter of authorization on institutional stationery. ■■

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Adopted by the ACRL Board of Directors on July 13, 1983.

Available from the Association of College and Research Libraries, 50 E. Huron St., Chicago, IL 60611.

Guidelines regarding thefts in libraries

By the RBMS Security Committee

William A. Moffett, Chair

The final version, approved by the ACRL Board of Directors in January 1988.

The "Guidelines Regarding Thefts in Libraries" have been developed by the ACRL Rare Books and Manuscripts Section's Security Committee has developed over the past eight years. The Committee began in 1978 with an *ad hoc* charge to develop guidelines for the marking of rare materials so that they could be properly identified when recovered. First published in 1979, these were later made an appendix to the broader "Guidelines for the Security of Rare Book, Manuscript, and Other Special Collections," published by ACRL in 1982, and currently under revision by the Committee (see draft in *C&RL News*, March 1982, pp.90-93).

From 1983 to 1985 successive drafts of the guidelines were reviewed by the RBMS Security Committee. The general policies were further expanded to include guidelines for "What to do before a theft occurs"; a checklist of steps to follow when a theft is discovered, "What to do after a theft occurs"; and "Model legislation: Theft and mutilation of library materials," which the Committee hopes libraries and ACRL Chapters will take to their state legislatures to strengthen the laws for the prosecution and punishment of library thieves. A final draft was approved at ALA Annual Conference in 1986 and published in *C&RL News*, November 1986, pp.646-49. Open hearings were held at the ALA Midwinter Meeting in January 1987. No revisions [illegible]ndations were offered, so the guidelines [illegible]pproved by the RBMS Executive Committee, the ACRL Standards and Accreditation Committee, the ACRL Board of Directors, and the ALA Standards Committee (the latter two taking place at the ALA Midwinter Meeting in 1988).

The RBMS Security Committee has emphasized two important points about these guidelines. First, the guidelines are interrelated and should be considered in conjunction with the previously published guidelines as well. Second, the guidelines concern *all* library thefts, not just those which may occur in rare book, manuscript, and other special collections departments within a library system. Some informal surveys over the past few years have shown that these latter departments have stronger physical and procedural security systems in place than do their parent libraries for the general collections. Publicized thefts, furthermore, such as the James Shinn case, show that thieves, rather than infiltrating established systems, instead pilfer from open stacks where rare materials acquired years before remain unidentified and unprotected. The Committee itself conducted one informal, geographic survey in 1982 among special collections libraries and found that most had security policies in place following the RBMS general guidelines or had developed parallel guidelines on their own. An ARL/Office of Management Studies survey in 1984 as part of its SPEC Kit on "Collection Security in ARL Libraries" showed, however, that only 32% of the eighty-nine responding libraries had ap-

ɔointed a security officer and only 15% had writ-
ten security policies to follow.

Perhaps it is time for ACRL and ALA to consider he serious problem of library thefts as a library-vide issue rather than limiting the concern to rare books, manuscripts, and other special collections. The Rare Books and Manuscripts Section stands eady to develop and co-sponsor ACRL and ALA programs at annual conferences which will edu-ate all librarians about the epidemic proportions f library thefts and the means to cope with them.

Guidelines for what to do before a library theft occurs

. Library security officer

Appoint a senior library staff member as Security Officer who has delegated authority from the brary and the institution to act on their behalf, working with the institution's legal counsel and se-urity force.

I. Security planning group

Form a group made up of the library Security fficer and other appropriate personnel to develop specific plan of action to follow when a theft is iscovered.

I. Publicity

Establish liaison with the institution's public re-ations office so that timely and accurate an-nouncements can be made to the press when a theft discovered.

/. Law enforcement

A. Establish contact with law enforcement gencies—institutional, local, state, and/or deral—to determine who will be called and un-er what circumstances. The library should main-in a list of contacts in each level of law enforce-ent and discuss the plan of action with each. The alue of materials or other circumstances will dic-te which law enforcement agency will handle the se; for example, the FBI may become involved if e dollar amount exceeds a minimum level, and e U.S. Customs may be involved if stolen items ight be smuggled out of the country.

B. Work with the library's institutional administration to ensure support for the prosecution of ieves. This support may range from an active llingness to participate in the collection of evi-nce to be turned over to the District Attorney or S. Attorney for further consideration, or it may olve direct participation in the prosecution by institution.

C. Work with appropriate institutional, local, d state groups to lobby for strengthening of state vs regarding library thefts and for diligent prose-ion of such crimes.

Other outside contacts

A. Establish liaison with local rare book, manu-int, and second-hand dealers to inform them of y's collecting areas. Thieves sometimes try to sell stolen property quickly, and dealers with knowledge of the library's collections can recognize, or at least be suspicious of, materials they know the library collects which are offered to them.

B. Report the name of the library's Security Officer to the RBMS Security Committee and note changes. The RBMS Security Committee will compile a list of the security officers annually. The list will be available from the ACRL office and will be forwarded to the Antiquarian Booksellers Association of America (ABAA).

C. Establish liaison with the national, online network, Bookline Alert/Missing Books and Manuscripts (BAMBAM) so that thefts can be reported immediately upon discovery. BAMBAM may be used not only to report missing books but also to check when materials are offered to the library.

VI. Preventive measures in the library

A. Implement the RBMS *Guidelines for the Security of Rare Book, Manuscript, and Other Special Collections* (1982), available from the ACRL Office.

B. Coordinate work in the library to assure proper ownership marks appear on the institution's holdings, providing proof that materials, if stolen, belong to the library. The RBMS Security Committee urges the use of its marking guidelines (an appendix to the security guidelines mentioned above) for rare materials. The Committee also recommends recording distinctive characteristics of individual copies in cataloguing notes as another means of identifying appropriate items.

C. Begin a process of reviewing materials in the library's general collections and open stacks for consideration of transfer to Special Collections or to a caged, limited access area of the library. The RBMS Transfer guidelines (*C&RL News*, July/August 1985, pp 349–52) will help the library identify candidates for transfer. Some libraries have identified rare materials in the open stacks in the course of projects, such as reporting to the Eighteenth Century Short Title Catalogue or working through a collection development policy using the Research Libraries Group Conspectus. While the task seems overwhelming for libraries large and small, the Committee recommends that libraries make a beginning.

VII. Addresses

The Security Committee, ACRL Rare Books & Manuscripts Section, ACRL/ALA, 50 East Huron Street, Chicago, IL 60611-2795.

Daniel and Katherine Leab, BAMBAM, P.O Box 1236, Washington, CT 06793; (212) 737-2715.

Checklist of what to do after a theft occurs from a library

I. Notification

Notification of Security Officer and appropriate library administrators upon suspicion that a theft has occurred.

II. Discovery of theft

The library's collection of evidence of theft

- Evidence of intrusion connected with missing library materials.
- Indication that patron or staff member has stolen books or manuscripts.
- Apprehension of person(s) in act of theft.
- Discovery of systematic pattern of loss.
- Recovery of materials stolen from library.
- Other evidence.

III. Evaluation

Security Officer's evaluation of evidence with administration, law enforcement personnel, library security group, and legal counsel as appropriate, and determination of action

IV. Actions

- Notify Bookline Alert/Missing Books and Manuscripts (BAMBAM), and other appropriate networks.
- Notify local booksellers, and appropriate specialist dealers.
- Request action from law enforcement agencies. Contacts:
- Request action from legal authorities. Contacts

V. Publicity

- Security officer meets with administration and public relations officer to plan appropriate publicity strategy.
- Security officer or public relations officer prepares news releases to alert staff and community to problem and action.
- Security officer or public relations officer handles inquiries from news media.

VI. Security officer's coordination of staff efforts

- Compilation of inventories.
- Arrangement for appraisals of loss or recovery
- Preparation of communications to staff about progress on case.
- Maintenance of internal records of actions followed during progress case.

Draft of model legislation: Theft and mutilation of library materials

Declaration of purpose

Because of the rising incidence of library theft and mutilation of library materials, libraries are suffering serious losses of books and other library property. In order to assure that research materials are available for public use, it is the policy of this state to provide libraries and their employees and agents with legal protection to ensure security for their collections. It is the policy of this state to affirm that local, state and federal prosecution of crimes affecting books or other library property is executed with the same degree of diligence as is exercised in prosecution of crimes affecting all other forms of property. Federal statute pertaining to stolen property is designed not only to implement federal-state co-operation in apprehending and punishing criminals who utilize, or cause to be utilized, channels of interstate commerce for transportation of property (in value of $5,000 or more) of which the owner has been wrongfully deprived, but also to deter original theft.

Definition of terms

"Library" means any public library; any library of an educational, benevolent, hereditary, historical or eleemosynary institution, organization or society; any museum; any repository of public or institutional records. "Book or other library property" means any book, plate, picture, photograph, print, painting, drawing, map, newspaper, magazine, pamphlet, broadside, manuscript, document, letter, public record, microform, sound recording, audiovisual material in any format, magnetic or other tape, catalogue card or catalogue record, electronic data processing record, artifact, or other documentary, written or printed materials, or equipment, regardless of physical form or characteristics, belonging to, on loan to, or otherwise in the custody of a library.

Proposed wording

Section I.a.) Any person who willfully, maliciously or wantonly writes upon, injures, defaces, tears, cuts, mutilates, or destroys any book or other library property belonging to, on loan to, or otherwise in the custody of a library shall be guilty of a crime.

Section I.b.) The willful concealment of a book or other library property upon the person or among the belongings of the person or concealed upon the person or among the belongings of another while still on the premises of a library shall be prima facie evidence of intent to commit larceny thereof.

Section I.c.) The willful removal of a book or other library property in contravention of library regulations shall be prima facie evidence of intent to commit larceny thereof

Section I.d.) The willful alteration or destruction of library ownership records, electronic or catalogue records retained apart from or applied directly to a book or other library property shall be prima facie evidence of intent to commit larceny of a book or other library property.

Section II.a.) An adult agent or employee of a library who has reasonable grounds to believe that a person committed, was committing, or was attempting to commit the acts described in Section I may stop such person. Immediately upon stopping such person the library employee shall identify himself and state the reason for stopping the person. If after the initial confrontation with the person under suspicion, the adult agent or library employee has reasonable grounds to believe that at the time stopped the person committed, was committing, or was attempting to commit the crimes set forth in Section I, said employee or agent may detain such person for a time sufficient to summon a peace officer to the library. In no case shall the detention be for a period of more than one-half (1/2) hour. Said detention must be accomplished in a reasonable manner without unreasonable restraints or excessive force, and may take place only on the premises of the library where the alleged crime occurred. Library premises includes the interior of a building, structure, or other enclosure in which a library facility is located, the exterior appurtenances to such building, structure, or other enclosure, and the land on which such building, structure, or other enclosure is located. Any person so stopped by an employee or agent of a library shall promptly identify himself by name and address. Once placed under detention, such person shall not be required to provide any other information nor shall any written and/or signed statement be elicited from him until a peace officer has taken him into custody. The said employee or agent may, however, examine said property which the employee or agent has reasonable grounds to believe was unlawfully taken as set forth in Sections I.b and/or I.c. or injured or destroyed as set forth in Sections I.a and/or I.d. Should the person detained refuse to surrender the item for examination, a limited and reasonable search may be conducted. Only packages, shopping bags, handbags, or other property in the immediate possession of the person detained, but not including any clothing worn by the person, may be searched.

Section II.b.) For the purposes of Section II.a "reasonable grounds" shall include, but not be limited to, knowledge that a person has concealed or injured a book or other library property while on the premises of the library.

Section II.c.) In detaining a person whom the employee or agent of the library has reasonable grounds to believe committed, was committing or was attempting to commit any of the crimes set forth in Section I, the said employee or agent may use a reasonable amount of nondeadly force when and only when such force is necessary to protect himself or to prevent the escape of the person being detained or the loss of the library's property.

Section III. An adult agent or employee of a library who stops, detains and/or causes the arrest of any person pursuant to Section II shall not be held civilly liable for false arrest, false imprisonment, unlawful detention, assault, battery, defamation of character, malicious prosecution or invasion of civil rights of the person stopped, detained and/or arrested, provided that in stopping, detaining or causing the arrest of the person, the adult agent or employee had at the time of the stopping, detention or arrest reasonable grounds to believe that the person had committed, was committing, or was attempting to commit any of the crimes set forth in Section I.

Section IV. The fair market value of property affected by crimes set forth in Section I determines the class of offense: value under $500 indicates a misdemeanor; $500–$5,000 a Class I felony; above $5,000 a Class II felony.

The aggregate value of all property referred to in a single indictment shall constitute the value thereof.

Section V. A copy or abstract of this act shall be posted and prominently displayed in all libraries.

Section VI. This act shall take effect upon passage.

■■

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Guidelines for Extended Campus Library Services

Foreword

In January 1980, the ACRL Standards and Accreditation Committee undertook the review of the 13-year-old "Guidelines for Library Services to Extension Students" to determine if a revision of these guidelines was appropriate. Membership of the Committee at the time this project was first discussed included Marjorie C. Dennin, director of learning resources, Annandale Campus, Northern Virginia Community College; James T. Dodson, (chair), director, University of Texas at Dallas Library; Jane G. Flener, associate director, University of Michigan Libraries; Peter C. Haskell, director, Franklin and Marshall College Library; George V. Hodowanec, director of the library, Emporia State University; Jay K. Lucker, director of libraries, Massachusetts Institute of Technology; Elizabeth M. Salzer, librarian, J. Henry Meyer Memorial Library of Stanford University Libraries; and Barbara J. Williams Jenkins, director, South Carolina State College Library. Since June 1980, the following membership changes have occurred: Patricia Ann Sacks, director of libraries, Muhlenberg and Cedar Crest Colleges, replaced James T. Dodson as chair of the committee, and Irene B. Hoadley, director of libraries, Texas A & M University, replaced Jane Flener.

Following a survey of the ACRL membership, a draft of proposed revised guidelines for library services to extension students was prepared and further responses were solicited. Hearings were held during the 1981 ALA Midwinter Conference. The published draft was revised by the Committee to reflect testimony and written responses, and approved by the ACRL Board on January 26.

Introduction

Changing patterns within higher education during the last few decades have placed broader demands on library resources and services. Four factors have necessitated the review of library services to extension students: the growing importance of continuing education and off-campus programs; the open admissions policy at many colleges and universities and the corresponding change in the student body; proliferation of academic programs and an increase in the number of locations at which they are offered; and, new technological advancements and the increase in the complexity and quantity of informational resources. These exogenous factors have called for a review of library services on the main campuses and have necessitated the revision of the guidelines of library service for continuing education and off campus services.

"Guidelines for Extended Campus Library Services" supersede the 1957 "Guidelines for Library Services to Extension Students." The change in title was made to account for both a wider range of library services and an expanded concept of what should be included in supporting extended campus academic programs. The revised guidelines apply to library services for institutional programs offered on campus as well as off campus, courses taken for credit or on a noncredit basis, programs pursued on a full time basis or as part of a continuing education program, courses attended in person or by means of electronic transmission, or any other nontraditional program which extends beyond the usual concept of higher education.

Because extended campus programs are characterized by a high degree of diversity and subject to rapid change, these guidelines provide a framework for developing extended campus library services without being prescriptive or normative. The six major sections—Planning, Finances, Personnel, Facilities, Resources, and Services—articulate the necessary conditions for adequate services and reflect standard management practices.

Definitions

The phrase "extended campus library services" covers library programs designed for nontraditional and/or continuing education students and faculty. The courses may be credit or noncredit, the students matriculated or nonmatriculated, full-time or part-time, and the classes taught at a main campus, branch campus, or off-campus location.

Assumptions

1) The academic library is primarily responsible for identifying, developing, and providing resources and services which address the information needs of students and faculty in extended campus programs.

2) The library's parent institution is responsible for providing support which addresses the information needs of its extended campus programs.

3) Effective services for extended campus communities may differ from established practices. The requirements of the instructional program rather than tradition should guide the library's responses to defined needs.

Planning

To identify the information needs of students and faculty in extended campus programs, and arrange to meet these needs, the library should:

1) Assess the needs of its extended campus community for library resources, services and facilities.

2) Prepare a written profile of the extended community's information needs.

3) Develop a written statement of objectives, including immediate and long-range goals, addressing the needs and outlining methods by which progress toward the attainment of these goals can be measured.

4) Involve appropriate extended academic community representatives, including the faculty, in the formation of the objectives and the regular evaluation of their achievement.

Finances

The library should provide continuing financial support for addressing the needs of the extended campus community. This financing should be:

1) Related to the formally-defined needs and demands of the instructional program.

2) Allocated on a schedule matching the parent institution's budgeting cycle.

3) Identified within the library's budget request and expenditure reporting statements.

4) Accommodated to contractual arrangements involving external agencies, including affiliated, but independently-supported libraries.

Personnel

Qualified library personnel should be employed to plan, implement, and evaluate library programs addressing the needs of extended campus students and faculty. This requires:

1) Persons with the capacity and skills to identify needs and respond to them flexibly and creatively.

2) sufficient numbers to attain defined goals and objectives.

3) Classification, status, and salary scales for extended campus library staff that are equivalent to those provided for other library employees.

Facilities

The library should provide facilities and equipment sufficient in size, number, and scope to attain the objectives of the extended campus programs. Examples of suitable arrangements include:

1) Contracts with a non-affiliated library to provide resources and/or services.

2) An off-site library office for consultations, access to ready reference collections, online data base searching and interlibrary loan services.

3) Telephone consultation services and/or pairing of students and faculty with a staff member who will respond to their needs.

4) A branch library when a sufficient number of classes are offered at an off-site location.

Resources

Access to library materials in sufficient number, scope, and format (print and non-print) should be provided to:

1) Accommodate the students' needs in fullfilling course assignments, including required and assigned readings and research papers.

2) Accommodate teaching needs, including the preparation of instructional materials and the application of various modes of instruction.

Programs granting associate degrees should provide access to collections which meet the "Guidelines for Two-Year College Learning Resources Programs" and the "Statement on Quantitative Standards." Programs granting baccalaureate or master's degrees should provide access to collections which meet the standards defined by the "Standards for College Libraries." Programs offering doctorate degrees should provide access to collections which meet the standards defined by the "Standards for University Libraries."

Services

The services offered students and faculty in extended campus programs should be designed to meet effectively a wide range of different information and bibliographic needs. Examples of arrangements which may meet these needs include:

1) Reference assistance.

2) Electronic transmission of information.

3) Computer-assisted bibliographic and information services.

4) Instruction in bibliography and the use of information tools and equipment.

5) Assistance with non-print media and equipment.

6) Reciprocal borrowing referrals and interlibrary loan services. ■■

Access Policy Guidelines

Approved as policy by the Board of Directors of the Association of College and Research Libraries, July 3, 1975.

Introduction

The committee has developed the following guidelines to assist academic libraries, whether public or private, urban or rural, in codifying their policies with respect to access by persons other than their respective primary clientele. The guidelines are intended to deal primarily with on-site access, but they may be used as the basis to cover other means of community access such as written and telecommunications inquiries.

The goal of total access to information is a major concern of librarians as articulated by the ALA *Goal and Objectives* statement, the first objective of which is as follows:

> Provision of library and information services and resources for all the people of the United States of America in order to increase their opportunity to participate in society, to learn, to achieve self-fulfillment, to pursue careers, and to obtain information needed for research.[1]

In addition, the National Commission on Libraries and Information Science has stated in its report, *Toward a National Program for Library and Information Services: Goals for Action*,

> . . . the total library and information resource in the United States is a national resource which should be developed, strengthened, organized, and made available to the maximum degree possible in the public interest. This national resource represents the cumulated and growing record of much of our nation's, and indeed, much of the world's, total cultural experience—intellectual, social, technological, and spiritual.[2]

While these two statements do not necessarily imply on-site access, or the other forms discussed, many academic libraries are mindful of the need to articulate clearly their policies relating to collections and services.

Institutional goals and circumstances are highly variable, making it both unworkable and undesirable to be prescriptive in approaching the question of community access to library collections and services. Public and private academic libraries have an obligation to examine their particular institutional goals as well as specific educational and legal responsibilities preparatory to articulating a policy on community access. The purpose of sharing library resources consistent with such a policy is to ensure that appropriate use is made of all collections and services. The reader must be assisted in terms of where to go first for material and what steps are necessary to obtain the information on material needed.

For the purposes of this document, "community" is considered to include those individuals outside the library's primary clientele who may have occasion to make personal use of its collections and/or services.

Frequently libraries within the community have developed cooperative use agreements on the basis of the types of material collected and general, consequent strengths associated with the respective libraries. This development provides a reasonable basis for instructing a variety of users in the appropriateness of using various collections.

Whether or not formal cooperative agreements exist, librarians are obligated to be well-informed about the policies and resources of other libraries in the area in order to make appropriate referrals. All libraries, regardless of size or prestige, have something to contribute to total information resources, and informal cooperation can help to alleviate the problems associated with community access to academic libraries.

It is recommended that the policy statement be made available to all users in an attractive format.

Outline

Consideration of the following outline may be helpful in arriving at and stating an access policy.

1.0 PURPOSE OF LIBRARY

2.0 COLLEGE OR UNIVERSITY LIBRARY CHARACTERISTICS

2.1 Location of library—urban, rural.

2.2 Source of library funding—public, private.

2.3 Strength of library collections.

2.4 Number of persons constituting primary clientele.

2.5 Space/seats available for users.

2.6 Service personnel available by function, location, day and time.

2.7 Administrative services—where policy inquiries are to be directed.

2.8 Legal obligations and restrictions.

3.0 COMMUNITY FACTORS

3.1 Other libraries in the community.

3.1.1 Location.

3.1.2 Size.

3.1.3 Nature of collections.

3.1.4 Services.

3.1.5 Clientele.

3.1.6 Regulations for us

3.1.7 Networking and cooperative arrangements.
3.2 Social and political factors.
4.0 CHARACTERISTICS OF POTENTIAL USERS AND USE
4.1 Size of groups.
4.2 Age and educational level.
4.3 Nature and purpose of use.
4.4 Types of material to be used.
4.5 Hours of use.
4.6 Services required.
4.6.1 Informational and directional assistance.
4.6.2 Reference assistance.
4.6.3 Borrowing: registration, notices, billing, etc.
4.6.4 AV systems and equipment use.
4.6.5 Copying service.
4.6.6 Use of meeting space, display space.
4.6.7 Interlibrary loan.
4.6.8 Special fee-based services.

Note: Specific institutional policy statements should incorporate relevant factors from the foregoing outline. It is not intended that the outline itself prescribe the form and character of the resulting policy statement.

Sample Outline for a Policy Statement

1 Definition of library purpose.
Statements of mission and goals immediately establish the basis for public expectations. For example, if users not immediately associated with the particular institution are told they do not constitute part of the primary clientele, they have modified expectations. This statement ought to be presented in positive language, briefly stating the nature of the library mission.

An example of such language follows:

The library constitutes a vital instructional and research arm of the University of ____ and exists primarily to contribute to the university's teaching and research functions. In addition, the library seeks to serve the citizens of the State of ____, consistent with its primary function and within the limits of its resources.

If liberal access and service are the norm, this can be reflected in the mission statement. A statement of how the library fits into a general plan of library services among libraries in the state or other organized service groups might also be included, if available.

2 Basis for community service.
2.1 Definition of community.
2.2 Categories of eligible users.
3 Specification of identification and types of access.
3.1 I.D. cards, or introductory letters from home institution, consortia cards, or cooperative library cards, etc., required.
3.2 Non-fee access.
3.3 Fee access.
3.3.1 Identification of fee categories and amounts.
3.3.2 Basis of valid fee period (i.e., semester, quarter, fiscal or calendar year, etc.).
3.3.3 Payment details (when and where).
4 Services.
4.1 Circulation regulations.
4.1.1 Identification required of user.
4.1.2 Loan periods if applicable (specify general-use materials not subject to loan and loan periods by type if applicable).
4.1.3 Access to special collections or library branches if not covered above.
4.1.4 Special distinctions among nonaffiliated users if applicable (e.g., students from other colleges, schools, teachers, other professionals).
4.1.5 Sanctions (including fines and replacement of lost or damaged material).
4.2 Security measures—exit control.
4.3 Information services.
4.3.1 Description of available services by broad subject or type (e.g., humanities, documents, archives, maps, etc.) and location.
4.3.2 Basis of access (in-person, phone, letter, etc.).
4.3.3 Hours of service (noting special limitations for community users).
4.4 Other services.
4.4.1 Reproduction services and costs.
4.4.2 AV equipment and personnel available.
4.4.3 Conference rooms/auditoriums (availability and process for reserving).
4.4.4 Display space.
4.4.5 Special fee-based services (e.g., access to computerized bibliographic data bases).

References

1. American Library Association, *Goal and Objectives of the American Library Association*, as adopted by the Council of the American Library Association, January 24, 1975.
2. U.S. National Commission on Libraries and Information Science, *Toward a National Program for Library and Information Services: Goals for Action* (Washington, D.C.: 1975) p.x.

Reprints of this policy are available, upon request, from the ACRL Office, 50 E. Huron St., Chicago, IL 60611.

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