1

NEED, PURPOSES AND TYPES OF LIBRARY RECORDS

INTRODUCTION

Welcome to this module. We expect that you would have some idea of working of a library before studying this program. Let us start this course by understanding the records which are kept in a library. In this lesson, we will discuss the need, importance and type of records required by libraries.
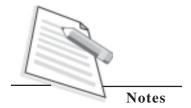
OBJECTIVES

After completing this lesson, you will be able to:

- identify various types of library records;

- explain the importance of records for carrying out library routines on periodic basis;

- list various records required for each division of the library;

- categorize records of the library

- specify the advantages of computerized library records; and

- explain role of records in library developmental plans.

1.1 LIBRARY RECORDS

A library record is defined as "any recorded information generated or required in the course of any library activity and which must be maintained to meet fiscal, legal, historical or administrative needs of the organization."

Notes

The purpose of library records is to help in planning library activities, to know readers' requirements, allocation of budget and for monitoring progress of a library. Records are also a valuable tool to access the work load in the library.

Following examples may be considered as library records:

- Descriptive and statistical compilations related to assets, services and products
- Fiscal data
- Library operations correspondence files
- User related files and cards
- Staff related files

Records could be on paper as files and registers or as data in a computer, or on a disc. The records are an evidence of the work done in a library. For example, increase or decrease in number of members in a library can be ascertained only through records. Library is also a store house that houses books, non-book material, equipment, and furniture. Records of all these items are maintained in the library. These records help to justify the financial support received by the library and are, thus, essential for planning and maintenance.

INTEXT QUESTIONS 1.1

Fill in the blanks.

1. A library records is defined as any .... in the course of library activity which must be maintained to meet various requirements of the library.

2. Library records help to justiy the .... by the library and are essential for ....

1.2 TYPE OF LIBRARY RECORDS

Records are developed to have a) uniform system in day-to-day activities of its various departments and sections, and b) planning its budgetary requirements, staff needs and modernization of its functioning.

Records of libraries fall under two broad categories:

- Control records
- Statistical records

Let us learn more about the records maintained by various divisions of a library.

1.2.1 Control Records: Purpose and Use

The control records are developed and maintained in each department/section of a library in the form of ledger, register, files and cards or slips, etc. depending upon the nature of activities to facilitate its working in a systematic manner.

Most of these are common to all types of libraries, though their size and scale may vary from library to library, e.g., accession record, shelf list, etc.

The control records are maintained in a library to:

- Bring about uniformity in carrying out routines in a department/section by staff, which may change from time to time,

- Meet the audit (or checking) requirements for the financial transactions carried out by a library,

- Serve as proper inventory of library stocks and equipments,

- Serve as an aid to verify details about the date, price, source of supply ,etc. of library and equipment, furniture and

- Assist stock verification of books, furniture, equipment, etc.

1.2.2 Statistical Records: Purpose and Use

Statistical records are described in quantitative terms, and may be called secondary records as they are derived from control records. These records present volume of library routines of the various departments/sections in quantitative terms. Statistical records are maintained department-wise and are tabulated in consolidated form month-wise and year-wise as per library needs in the administration department of library.

The statistical records are maintained to:

- Serve as an indicator of workload, department-wise and staff wise,

- Add authenticity to the annual report of the library, Provide useful data for planning of the activities of a library, such as opening hours, type of readers' services, etc. in its various departments,

- Support proposals for staff requirements in a library,

- Work out rational distribution of work-load among staff,

- Provide guidelines for collection development as per readers' preference, and
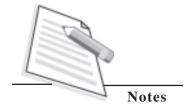
- Justify utility and desirability of library services.

INTEXT QUESTIONS 1.2

State True/False

1. Control records do not assist stock verifications of books, furniture, equipment, etc.

2. The Statistical Records are also called secondary records.

3. Two broad categories of library records are control records and statistical records.

Notes

1.3 LIBRARY RECORDS SECTION

The areas of operation of a library are broadly grouped as the following sections:

a) Acquisition Section

b) Processing/Technical Section

c) Circulation Section

d) Periodicals Section

e) Administration Section

Let us learn about the control type and statistical type records in varius sections of a library.

1.3.1 Control Type Records

Let us first know about the control type records that are maintained in various sections or sections of a library.

Acquisition Section

The primary function of the Acquisition Section is to build up collection of reading materials in a library. This section acquires books through purchase, exchange and gifts. At any given time, some books are on order with vendors, some have been received and are awaiting checking and accessioning. While others are ready for transfer to processing section.

The Section is expected to purchase books as per amount earmarked in the library budget for a subject discipline and/or in a specific language. In acquisition work, precaution is taken to avoid unwanted duplication. Bills cleared for payment are properly scrutinized to check publishers' price and conversion of foreign currency price at approved conversion rate, etc. The Acquisition Section has to maintain various forms of control type records to fulfill these obligations.

Some conventional control records for acquisition work are:

a) *Budget allocation register*: To record and keep track of expenditure incurred under various heads for acquisition of reading materials such as books, periodicals, electric (both in printed form as well as, on line), binding, furniture and equipment, etc.

b) *Bill register*: To record bills received in the library for materials supplied.

c) *Directory of institutions:* To record name and address of institutions and organizations having exchange relations with the library.

d) *Accession Register*: To accession all the books and periodicals acquired by the library.

e) *Cards for books on order*: These are kept in alphabetical order by author name to avoid duplication while ordering new books.

f) *Cards of books awaiting accessioning*: As above

g)   *Cards of books suggested for acquisition*

h)   *File containing suggestions lists* for acquisition received from the authorities/ users community.

i)   *Acquisition policy File*

Processing/Technical Section

The Processing Section of the library, also known as Technical Section, carries out– a) the task of assigning call number to a book and b) prepares its corresponding catalogue cards to meet all the approaches of library users. The universe of knowledge is an ever-changing phenomenon. The scheme of classification adopted in a library often necessitates certain local preferences for representing a subject or its subordinate classes. To maintain consistency in such local variations it must be recorded in a file for guidance of new entrants to the Section. Similarly, modifications or extent of bibliographical details to be provided in the catalogue card, number of readers' approaches decided to be satisfied through a catalogue also needs recording to ensure consistency.

The Technical Section, therefore, maintains:

a)   *Authority file for classification*: To record modifications in classification schedule of the approved scheme of classification.

b)   *Authority file for cataloguing*: To record decision regarding bibliographical details to be provided and number of added entries to be constructed.

c)   *Authority file for filing cards* in alphabetical part of the catalogue Some libraries also maintain a duplicate shelf-list/shelf card for the use of the library staff to save them from frequent visits to the public catalogue. An authority file for recording policy for filing cards in alphabetical/dictionary catalogue is also maintained in some libraries.
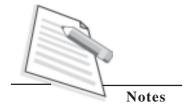
Circulation Section

The Circulation Section is concerned with charging and discharging of reading material for home reading. Some libraries may add to this activity the service of providing books obtained on inter-library loan from other libraries. To regulate the circulation work so as to provide all readers equal opportunity to read library books, Circulation Section accepts reservation for a title already on loan. It also issues reminders to recall books from members for over holding a title. Punitive measures such as imposing fine or withdrawing borrowing privilege as per library-policy, are also taken by this department. Records related to all the above are also maintained by this section.

Enrollment of new members, controlling entry to library, replacing used books and rectification of shelves also come within the purview of circulation section in small libraries.

Large libraries may have separate section for membership and for maintenance of stacks.

Notes

Control-type records associated with Circulation Section include:

- *Library membership record*: In the form of cards in a tray or forms in a
- file containing personal data and address of the member.
- *Books on loan record*: Book cards along with borrowers' card.
- *Record of over-due charges* collected and deposited with accounts office.
- *Inter-library loan record*
- *Record* of temporarily removed books from the collection for binding/repair or other administrative reasons. Some of these records are in files, some in register, some in electronic form and still others in card form.

Periodicals Section

Periodicals, also known as "journals" or in certain countries "serials", are important component of library collection in libraries of colleges and universities and research institutions. Their acquisition and preservation present more problem than those of books. Their operation is thus organized in a separate section. Payment for periodicals is made on annual basis and in advance. Some periodicals are procured directly from publishing agency. But most of them areprocured through a vendor, selected and appointed by the library. Titles selected for acquisition once are generally acquired year after year. Research journals often split into two or more journals and sometimes two titles merge together to become one journal. Often old titles are dropped and replaced by new titles. All these call for alertness on the part of the Periodicals Section. Once a volume is complete, it has to be bound and sent for accessioning and processing.

All these activities call for maintenance of various types of control records. The actual number and format of these records may vary from library to library. These records are maintained in the form of register, files and cards, or electronic form depending on their nature and use.

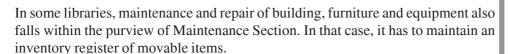In major libraries, the following records are associated with Periodicals

Section:

- Registration record
- Lists of periodicals received and each one arranged by title; vendor; subject and by mode of procurement, i.e., subscription, exchange or gift.
- Bill register: To record bills received, processed and passed for payment
- List of periodicals sent for binding.
- Budget allocation register (Department/Subject-wise): To keep theexpenditure on subscription, within allocated amount.

Maintenance Section

Maintenance operation involves keeping the library collection in proper order to ensure efficient retrieval of materials.

Maintenance Section carries out annual stock verification. The routine of the Maintenance Section does not require much of control-type records as the jobs carried out are mostly to maintain order in collection. However, it does maintain shelf-list or shelf-register to ensure annual stock verification. Another record maintained in file or register form or electronic form relates to books sent for binding and/or withdrawn from circulation where such records are maintained by circulation section.

In some libraries, maintenance and repair of building, furniture and equipment also falls within the purview of Maintenance Section. In that case, it has to maintain an inventory register of movable items.

Administration Section

Administration Section, as is commonly understood, is concerned with organizing the manpower and material resources of the library.

The Section, has considerable amount of control type records related to human resources, financial resources, furniture and equipment and reading material. The Section draws up plans to organize its resources and activities so as to fulfill the main objectives of supporting the activities of its parent organization. In order to make the optimum utilization of resources allocated, it has to develop records relating to:

- Manpower available-quantity, quality and time span

- Financial resources-for books, furniture, equipment, preservation materials such chemicals, etc.

- Inventory of furniture and equipments.

- Records of policy decisions (Proceedings of Library Committee Meetings)

- Records of activities of the library (year-wise annual reports)

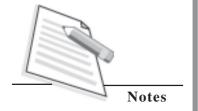- Staff deployment chart

- Record of staff attendance on a given day.

Activity 1.1 . Make a list of the conventional records maintained by the Acquisition Section.

INTEXT QUESTIONS 1.3

1. Which of the following is control type record in circultion section

   (i) Bill Register

   (ii) Books on loan Record

   (iii) Budget allocation Register

   (iv) Inventroy of furniture

2. Which kind of record(s) is maintained by the technical section.

    (i)   Accession Register

    (ii) Authority file for classification

    (iii) Authority file for cataloguing

    (iv) Both (ii) & (iii)

1.3.2 Statistics Type Records

As we have discussed earlier, statistics of library activities are collected, in broad terms, to serve as a guide for planning, or improving already planned activities of the library. They assist in carrying out cost-benefit analysis, better deployment of manpower and proper utilization of financial resources of a library. Effective deployment of manpower depends upon availability of data about work load and manpower resources available in various section of the library.

The format of recording statistics in various departments/sections of the library varies from library to library. Let us learn abut the types of statistics generally maintained in various departments/sections of a library.

Acquisition Section

The Section is concerned with acquiring recommended/suggested books, accessioning them and transferring them to the Technical Section. Statistics maintained in the Section relate to:

●   Number of book accessioned

●   Number of book selection slips prepared, checked and filed

●   Number of bills processed and passed for payment

●   Number of orders placed with the vendors and number of reminders issued.

These statistics serve as an objective index of level of efficiency of the Department, when these are compared with standards developed for these routines.
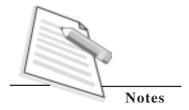
The specimen of Acquisition section statistics is given in Fig. 1.1.

Specimen of Acquisition Section Operation Statistics

Month.............................Year.............................

S.No.	Date	Book order Slip/card prepared	Book Accessioned	Bill passed	Book transferred to Technical Section	Book order card checked a) order Tray b) receipt tray	Book order cards filed	Correspondence Letter to and from from vendors
1.								
2.								
3.								
4.								
5.								
6.								
7.								
8.								
9.								
10.								
11.								
12								

Daily Statistics (Acquisition Section)

Fig. 1.1: Acquisition Section Statistics

Notes

Processing/Technical Section

Processing Section is concerned with assigning call number and preparing catalogue cards to meet various approaches of users in identifying books of their need. Before a book is classified and catalogued, it is to be checked with the catalogue to see if:

● It is altogether new book or

● It is an additional copy of a book already in the library, or

● A new volume in a multi-volume title

Statistical records in Processing Section include statistics for:

● Number of titles checked with the catalogue

● Number of titles classified

● Number of books catalogued

● Number of catalogue cards filed

● Number of books prepared for processing (pasting due date slip, tag library label, etc.)

● Number of books prepared for release (writing call number at various places in a book and on catalogue cards)

These statistics are collected on daily basis and are cumulated at monthly intervals.

See the specimen of Technical section operation statistics in Fig. 1.2.

Notes

Technical Section Operation Statistics

Month.............

	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
Titles Classified																
Titles Catalogue																
*Cat. Cards filed																
Shelf Cards filed																

* Note : Addition/Deletion of number of copies in catalogue card are also carried out.

Fig. 1.2: Technical Section Statistics

Notes

Circulation Section

The statistical records in Circulation Section are kept in tabular form to show daily routines relating to number of:

● Books issued, total number as well as subject-wise

● Books returned

● Reminders written for overdue books

● Intimation letters for reserved books

● Titles obtained on inter-library

● Visitors to the library

The specimen of circulation section statistics are given in Fig. 1.3 and Fig. 1.4.

Daily Record of Library Users

S.No.	Date	Under graduate	Post Graduate Social Sciences	Post Graduate Natural Sciences	Research Scholar	Faculty members	Outsiders
1.							
2.							
3.							
4.							
5.							
6.							
7.							
8.							
9.							
10.							
11.							
12.							

Statistics in Circulation Section

Fig. 1.3: Library users record in circulation section

............Month............Year............

Date	Books issued (Languagewise)			Books issued (Subjectwise)			Books returned	Non-Book Material issued			Inter-Library Loan		Reminders/ Reservation sent	No. of Visitors
	Eng.	Hindi	Tamil	Phy.	Chem.	Bio		A/V cassettes	CD's	DVD's	Borrowing	Lending		

Circulation Statistics
Fig. 1.4: Circulation records

Specimen of Statistics in Circulation Section

Circulation Statistics

Subject-wise statistical records of loaned books is an important indicator of preference of library users. This information is also helpful in collection development. Registration of new users is also the responsibility of Circulation Section in many libraries. Statistical record of members enrolled or membership cancelled are also maintained. The chief statistical data collected by this section is the number of daily visitors to the library and number of books consulted in a day. In larger libraries, there are usually separate sections for membership and maintenance, where statistics regarding these operations are recorded.

Maintenance Section

Maintenance work of a library is indirectly related to the use of library collection. In large libraries, statistical record of activities is usually the responsibility of an independent department, separate from Circulation Section. In small libraries maintenance work is overseen by Circulation Section. Statistical records of the following activities by users are maintained by the Maintenance Section:

- Books consulted in the library reading room

- Books shelved

- Shelves rectified

- Books identified for binding and for repair work

- Misplaced books traced

These statistics help to plan details related to access to the library, period during which library should remain open every day and reflect preference of users regarding books borrowed and consulted.
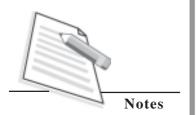
Periodicals Section

As periodical issues are received every day in the library, these must be entered in relevant control type records on daily basis. Follow up of missing issues of periodicals and sending reminders are to be organized on weekly basis.

Once a volume is complete, it has to be prepared for binding by putting title, index and content in the beginning of the volume and placed in safe custody till sent to the binder. Correspondence related to subscription of new titles, renewing subscription of already available titles, chasing missing issues, seeking clarification regarding bills received from vendors, etc. are some of the activities that fall within the purview of the Periodicals Section. Statistics recording daily, weekly, monthly and ad hoc operations in the Section are usually kept in tabular form as depicted in the figure 1.5.

Notes

Specimen of Statistics in Periodicals Section
....Year.......................

Month	Reminders Prepared and sent	Bills Processed	Vouchers prepared for Binding	Letters for new/renewal/ concellation of subscription
Jan.				
Feb.				
Mar.				
Apr.				
May.				
Jun.				
Jul.				
Aug.				
Sept.				
Oct.				
Nov.				
Dec.				

Fig. 1.5 : Periodicals Records

Reference Service Section

There are few control records maintained in the Reference Service Section. Scholars' profile is one control record which is maintained by Reference Service Section. The statistical records maintained in this section too are very limited. However, as the Reference Section extends its activities to include bibliographic and documentation services, the quantity of the statistical record increases. Notable statistical records in this Division include the number of:

● Reference queries (both long as well as short range) attended

● Index cards prepared

● Abstracts prepared

● Topical Bibliographies compiled

● SDI services provided

● Orientation programme for user community

In addition to the above statistical records, details related to subject categories, level of staff employed and queries answered from individual library's files are also maintained.

Administration Section

Administration work is concerned with planning and organizing the overall library operations. A successful execution of the vision of a library depends upon regular monitoring of the activities in various sections in a library. Proper deployment of resources, both human and material, ensures achievement of the desired goals. The Section has, therefore, to maintain statistics and also collect statistical records from all the other sections in order to compile a unified statistical chart for its use. The collected data also serves as a basis for the library's annual report. Besides this, the statistics are used for drawing up various future plans and programmes for which it has to obtain approval of its parent body. Some of the statistical records collected in the Administration Section are:

● Daily record of staff in attendance / on leave

● Number of orientation programmes for staff organized

● Consolidated statistical records collected from individual section

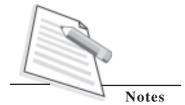● Correspondence parent body / with outside agencies.

Activity 1.2: Observe and prepare a list of various records required by the Circulation Division of any library.

INTEXT QUESTION 1.4

1. Scholars' profile is one ——————which is maintained by Reference Service Section.

Notes

Notes

2. Daily Record of staff in attendance /on leave is a kind of............... .

3. In Maintenance section, statistical records relate to............................

1.4 CONFIDENTIALITY OF LIBRARY RECORDS

Many library records contain personal information of library users and these should not be disclosed to everyone. Only authorized personnel are entitled to handle these records. The following library records are considered confidential:

● Circulation records

● Reference queries including SDI profile

● Personal information related to the users (phone number, address, etc.)

● Inter library loan transactions

● Financial information

● Acquisition requests

The availability of records to various personnel is usually a policy issue which is governed by the parent organization of the library. The confidentiality in libraries usually extends to information sought or received, including library material consulted or borrowed, database search records, reference interviews, circulation records, registration records and all other personally identifiable uses of library material, facilities or services.

1.5 IMPACT OF INFORMATION TECHNOLOGY ON LIBRARY RECORDS

Libraries and librarians are gradually adopting to the developments in information and communication technologies in the recent years. Library records are also now being computerized leading to more efficient and effective library management systems. It is also a faster method of locating resources and accessing materials. Specially designed software has beend eveloped to take care of various functions for which the software has specific modules. The new system of computerized records also saves lot of space, paper and paper work leading to efficiency in various activities of library. These records are referred to as electronic records. Electronic recordsare stored in a format that can be processed only by a computer. These are also called machine-readable or machine-sensitive records.

For the various library activities, records are automatically generated in the automated library systems. This reduces the manual labour of preparing, maintaining and updating records, as the software of the library automation system ensures all the activities. Another major task that is carried out in the ICT environment is automatic generation of statistics at the end of the day, week, month or year as the case may be. It is also easier to have an inventory of electronic records. Some benefits of electronic records are:

- Describe status of records in terms of their location and characteristics

- Ensure integrity of records

- Avoid loss of information

- Detect any duplication immediately

- Access any information quickly without any time lag

- Sharing records is easy

- Identify any record for disposition

However, maintaining a backup of the electronic record system is very essential. With application of computers in libraries, it is also possible to introduce new type of library services. The computer-based library ,documentation and information services in large academic and research libraries have resulted in the emergence of new records. These are:

- E-Current Awareness Services (CAS)

- E-Selective Dissemination of Information (SDI)

- Online literature search

Activity 1.3: Visit a college library and observe the use of computerized records maintained by the Periodical Section

INTEXT QUESTION 1.5

Fill in the blanks

1. Two main benefits of electronic records .... and ....

2. Only ———————— are entitled to handle confidential records of a library

3. With application of computers in libraries, it is possible to introduce new type of ....
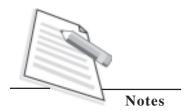
WHAT YOU HAVE LEARNT

- Libraries develop records to maintain a uniform system for carrying out routine activities in various division.

- Two kinds of records developed in libraries are the control type and statistical type of records.

- The control type records include ledger, register, files etc. These records help in carrying out routine activities

Notes

- The statistical records include statistical data carrying activities in various division of a library.

- Records are an essential tool for future planning in librarians.

- With application of computers in libraries, majority of records are available in computerized from

TERMINAL EXERCISE

1. List and explain various types of Control Records required in a public library.

2. Explain Statistical Records required by any three divisions of an academic library.

3. Write in brief the purpose and use of various records in a library.

4. Describe the impact of modern information technologies on the library records.

ANSWERS TO INTEXT QUESTIONS

1.1

1. Recorded information

2. Financial support, planning and maintenance

1.2

1. False

2. True

3. True

1.3

1. (ii) Books on loan records

2. Both (ii) & (iii)

1.4

1. Control record

2. Admistrative Record

3. Activities by users

1.5

1. Avoiding duplication and easy access of information

2. Authorized personnel

3. Library services

TERMS

The terms covered in this lesson which require further explanation are given below in an alphabetic order. The learner is required to explain each term.

Authority File:

Electronic Records:

Library Automation:

Library Management System:

Library Staff:

Library Statistics:

Records Inventory:

Records Management (RM):

Software:

Notes