CHAPTER ONE

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The library is an important instrument of education. In the changing educational environment in India, the role of libraries in education, especially in higher education, is very significant. The role of university library is well recognised as a tool and an integral part of higher education to achieve quality education. But today the University libraries in India are confronted with a number of problems which hinder the achievement of the objectives of higher education at the desired level. Inadequate fiscal investment and unscientific fiscal management are the most serious of these problems.

1.1. Libraries in Education

Education is an all pervasive means of personal development which leads to societal change. The purpose of education is given in the Education Commission Report as:

"In a democracy, the individual is an end in himself and the primary purpose of education is to provide him with the widest opportunity to develop his potentialities to the full"\(^1\). Library plays an important role in this by providing
him with wide opportunities to learn, think and develop his capabilities on his own lines. It is a social institution which plays a crucial role in the socio-economic and cultural spheres too.

India is faced with a number of challenges, external as well as internal. The importance of education to meet these challenges is stressed in the policy document on education of the Government of India as: "Education is the most effective instrument to meet these challenges. Only education can imbue people with the knowledge, the sense of purpose and the confidence essential for building a dynamic, vibrant and cohesive nation capable of providing its people with the wherewithal for creating, fuller and more purposeful life."  

To enable the education system to play its role effectively in the process of national development along democratic lines, it is essential to ensure universalisation of education. In a developing country like India education through formal channels alone will not be sufficient to achieve this objective. Education through informal channels viz distance education is one of the effective ways by which this can be achieved. That is why the New Education Policy, 1986 has laid great stress on distance education. For an effective distance education programme a well established
library system is an essential pre-requisite. Its role in formal education also is no less important.

1.2 Problems of Higher Education

The most important indicator of a country's future may be the state of its higher education. Higher education enables people to reflect on the critical, social, economic, cultural, moral and spiritual issues facing humanity. It contributes to national development through dissemination of specialized knowledge and skills.

There are a number of problems in the field of higher education in India. The major problems listed in the document 'New Education Policy' are the following:

i) Problems associated with developing countries like scarcity of resources, dependence on and high competition from developed countries in the areas of high and specialised technologies etc and urgent need for faster development and progress put many constraints on teaching and research in higher education;

ii) Pressure of a large number of students aspiring for higher education for personal, social and economic betterment;
iii) Expansion of knowledge in its content and diversity and emergency of many new areas like computers, microelectronics, space science, energy, biotechnology, communication etc.;

iv) Emergence and adoption of communication and microelectronics-based technologies are transforming the industrial, social and cultural life of this country and the world;

v) Non-homogenous student body can't be properly educated and trained by the existing educational system which was evolved on the principles of centralisation and uniformity.

vi) Grading and certification function of the universities for admission to higher courses of study and for selection to various employment opportunities has brought in outside as well as inside pressures on teachers and educational institutions vitiating the entire teaching and learning process;

vii) Dominant culture in the educational institutions is authoritarian and hierarchical;

viii) Lack of motivation in the system has resulted in the limited success or often failure in many reforms based
on sound principles and started with well-planned programmes and preparation;

ix) Less importance often bordering on neglect given to the university system in Research and Development work has eliminated challenge from the system, and resulted in falling standards;

x) Accountability is entirely absent in the system and good, bad and indifferent institutions, all get the same grant and support; and

xi) Financial resources provided to higher education are not enough to carry out its responsibilities. Often the grant-in-aid and its controlling operation by the funding agency, usually a Government agency, is so restrictive and bound in long procedures and delay that it disheartens and dissuades those working for educational reforms and changes.³

The problems in the higher education mentioned above are indeed the problems faced by the universities in India. In the midst of all these problems the universities, the centres of our national development are forced to function for achieving the objectives of higher education.
1.3 Functions of a University

The University is an important agency for imparting higher education. The University has important responsibilities to the society as well as to the educational system. The traditional functions of a university are mainly acquisition, preservation, dissemination and extension of the frontiers of knowledge, the balanced education of individuals and the training of personnel for all walks of life. The Education Commission (1964-65) was of opinion that universities are undergoing profound changes in their scope, functions and organisation and are in a process of rapid evolution. In Broad terms, the functions of the universities in the modern world as stated by the Education Commission are:

- to seek and cultivate new knowledge, to encourage vigorously and fearlessly in the pursuit of truth, and to interpret old knowledge and beliefs in the light of new needs and discoveries;

- to provide the right kind of leadership in all walks of life, to identify gifted youth and help them develop their potential to the full by cultivating physical fitness, developing the powers of the mind and cultivating right interests, attitudes and moral and intellectual values;

- to provide society with competent men and women trained in
agriculture, art, medicine, science and technology and various other professions;

- to strive to promote equality and social justice and to reduce social and cultural differences through diffusion of education; and

- to foster in the teachers and students, and through them in society generally, the attitudes and values needed for developing the 'good life' in individuals and society.4

Apart from the aforesaid basic functions, a modern university especially in a country like India has to undertake several other functions as well. These functions are given in the document entitled 'Development of higher education in India' prepared by the University Grants Commission. They are:

- inculcate and promote basic human values and the capacity to choose between alternate value system;

- preserve and foster our great cultural traditions and blend them with essential elements from other cultures and peoples;

- Promote a rational outlook and scientific temper;

- enrich the Indian language and promote their use as important means of communication, national development and unity;
- promote the development of the total personality of the students and indicate in them a commitment to the society through involvement in national service programmes;

- act as an objective critic of society and assist in the formulation of national objectives and programmes for their realisation;

- promote the development of science and technology and of an indigenous capability to apply it effectively with special emphasis on national problems; and

- contribute to the improvement of the entire educational system so as to observe the community.5

1.4 Objectives and functions of a University Library

A University Library is established with the intention of aiding in the successful accomplishment of the objectives of its university such as teaching, research, publication programmes etc. Considering the multifarious objectives of a modern university, the university library has to shoulder onerous responsibilities. The role of the University library in higher education is important and it is emphasised in different reports brought out by various library and education commissions in India and abroad at different times.

The role of a library in a University system is stressed by the University Grants Committee (United Kingdom)
in its report (1921) thus: The character and efficiency of a university may be gauged by its treatment of its central organ, the library. We regard the fullest provision for library maintenance as the primary and most vital need in the equipment of a university.

In India, the University Education Commission (1948-49) headed by Dr. S. Radhakrishnan describes the importance of the University Library in higher education thus: "Teaching is a co-operative enterprise. Teachers must have the necessary tools for teaching purposes in the shape of libraries and laboratories as also the right type of students. The library is the heart of all the University's work, directly so, as regards its research work, and indirectly as regards its educational work, which derives its life from research work. Scientific research needs a library as well as its laboratories, while for humanistic research the library is both the library and laboratory in one. Training in higher branches of learning and research is mainly a question of learning how to use the tools, and if the library tools are not there, how can the students learn to use them." President Truman's Commission on Higher Education says: "The library is second only to the instructional staff in its importance for high quality instruction and research. Both for humanistic and scientific studies, a first-class library is essential in a university." To quote S.R. Dongerkery, "a well stocked and
Uptodate library is a sine qua non for every modern University".8

The importance given by the Kothari Commission Report (1964-66) on education to the role of libraries in higher education is reflected in these words: "No new university, college or department should be set up without taking into account its library needs in terms of staff, books, journals, space etc. Nothing could be more damaging to a growing department than to neglect its library or to give it a low priority. On the contrary, the library should be an important centre of attraction on the college or university campus".9

The role of University library in higher education is emphasised in the Atkinson Commission Report (1976) in the following words: "The library is the core of a university. As a resource it occupies the central and primary place, because it serves all the functions of a university, teaching and research, the creation of new knowledge and the transmission to posterity of the learning and culture of the present and the past."10 The Parry Committee Report (1967) reiterated the University Grants Committee Report of United Kingdom (1921) by adding a statement that "this is as true today after forty five years as it was when it was written".11
According to Gelfand, the fundamental role of the library is educational. It should not be operated as a mere store house of books attached to a reading-room, but as a dynamic instrument of education. It should feed the intellect of the student, encourage the researches of the faculty, and invite all who enter its house to partake fully of its intellectual and cultural fare. To quote M.B.Line, "the foundation of the university library is to bring together information or knowledge on the one hand and human beings on the other".

The report of the Library Committee of the University Grants Commission (1957) headed by Dr.S.R. Ranganathan has dealt with in detail the role of the University Library in academic development especially in the field of higher education.

Paul Buck's famous observations about the University Library referred to as his 'Credo' are worth mentioning here. His observations are:

i) The library is the heart of education;

ii) Methods and fashion in education change from generation to generation, but each generation uses the library as a means of realising its items; hence the library remains the great conservator of learning;
iii) A quality education is impossible without a quality library;

iv) You can't have quality faculty without a quality library;

v) A library is vital to proper exploitation of our intellectual resources;

vi) The library is essential to maintenance of free access to ideas, and to the functioning of the untrammeled mind.¹⁵

1.41 Factors and problems in university library development

There are a number of factors affecting the normal development of a university library. In the opinion of Wilson and Tauber the essentials that are basic to successful operation of the University library and the co-ordination of its programmes with the teaching and research programmes of the University are:

i) resources for instruction, research and extension;

ii) a competent library staff;

iii) organisation of materials for use;

iv) adequate space and equipment;
v) integration of the library with administrative and educational policies;

vi) integration of the library with community, state, regional, national and international library resources;

vii) adequate financial support; and

viii) a workable policy of library government. 16

In order to make the university library the heart of the parent institution it is essential that the authorities, the faculty and the librarian should realise their obligations to the objectives of higher education. Their obligations may be stated as follows:

a) The authorities i.e the University, the University Grants Commission and the Government, State as well as Central Government, should provide adequate funds for library service with the conviction that, in its turn, it (library service) would help develop scholarship and increase the productive capacity of the nation;

b) The faculty should give up the age old textbook centered, examination oriented and mass talk method of teaching, and should encourage library centered individual and group guidance method through tutorials, discussions and seminars etc to make education really effective and worthwhile; and
c) The librarian should collaborate with the faculty and provide necessary literature, supplementary and parallel reading, keeping in view that library service does not merely aim at satisfying the immediate requirements of reader, but also aims to assist the reader in strengthening his creativeness and satisfying his intellectual curiosity.17

University libraries in India and other third world countries are confronted with several problems as obstacles in their course of development. M.A. Gelfand has pointed out a number of obstacles faced by the university libraries in developing countries. They are:

i) Lack of clearly defined university and library objectives, of co-operation and understanding from University authorities and faculties, of trained library personal and adequate clerical staff, of library resources in the university and in the country at large;

ii) Severe import and currency restrictions;

iii) Inadequate financial support;

iv) Inadequate physical facilities;

v) Failure to appoint a competent university librarian, to give him authority commensurate with his important
responsibilities, and to recognise the educational and professional qualifications of librarians;

vi) Unduly complex purchasing and other administrative regulations; and

vii) The inhibiting enforcement of strict personal accountability for book losses. In addition to the specific 'obstacles' which are listed above, a number of factors may affect the development of university libraries. These may need to be considered in planning library development in the interests of the nation as well as of the university. These include:

a. number and type of specialised research institutions;
b. the state of library services in the nation;
c. conditions in particular universities; and
d. the status of librarianship.  

The obstacles and factors for University Library development listed above are both external and internal. Of these, the most crucial one in the Indian situation is inadequate fiscal support.

1.5 Importance of Finance

Finance holds the key to all human activity. It is the guide for regulating decisions and expenditure.
According to D.P. Misra "Finances are the sine qua non of every organised human endeavour, and success in all planned public projects is often proportionate as much to the amount of finances made available as to the wise manner in which they are put to use. Education, of all public projects, is one which vitally, although indirectly, affects the growth and continuity of community life. No study of such an important public activity as education can be complete and fruitful unless it also covers its financial aspect".  

The finance plays a significant role in the organisation and administration of a library. A library should be assured of adequate finances, otherwise it cannot discharge its obligations and guarantee the continuity of proper service to the users. The quantum of funds made available towards library resources and personnel determines to a large extent the quality of a library and the services provided by it. The educational system of any country will be reflected negatively if the fiscal allocations are inadequate. Today librarians and information managers are faced with a number of problems like quantitative growth of documents, increase in the number of library users, diversified nature of user's requirements, escalating cost of documents, unelastic budget provision, etc. Inflation has adversely affected the university libraries in the third
world countries. But the university authorities seldom take
the above factors into account while considering the
university library budget. In this connection the role of
the parent body is important. Here the observation made by
C.G. Viswanathan is worth quoting. He has stated that "All
institutions need stable and adequate financial support and
guarantee from the authorities creating them. In fact, it
is the full responsibility of the parent body to maintain
all its institutions, in such a way, as to expect
satisfactory services from them to the community
served".20

Regarding the nature of finance in the university
libraries in the developing countries, Carl M White has
observed: "No great university library comes to mind which
can't point to stable financial support as a corner-stone
of its success. The reason is quite simple. High
standards in work of this kind can't possibly be achieved,
when funds for maintaining a competent staff, occupied by a
steady flow of work, are provided by jerky fits and starts.
If the library is to rid itself of a formidable menace to
normal development, the University will be obliged to join
with the University Grants Commission in establishing
library financing on a footing which increases dependence
on regular maintenance funds and reduces dependence on non-
recurring grants".21
James D Hart has emphasised the necessity of adequate finance for various university programmes. "Adequate financial support is basic to the maintenance of any programmes of library development and service that is to be significantly effective. To supply the necessary funds for the acquisition of materials for study and research for the staff to administer the resources, and for building to house the materials is a responsibility of the university administration which is cognisant of the role played by the library in the academic programme".  

1.51 University library finances in India

It is a sad fact that, generally speaking, university libraries in India are not provided with adequate finances. The Education Commission as early as 1948-49 had suggested that "there is no doubt that in most of our universities the annual grants for libraries are very inadequate". The Kothari Commission Report (1964-66) on Education has recommended that "there is no formula for estimating with precision how much money a university should invest in its libraries. It has been found that the expenditure on library in relation to total educational expenditure of the university, has gone up from 1.88% in 1951-52 to 4.04% in 1960-61, by which time the grants provided by the UGC had begun to make an impact. The University Education
Commission had suggested about 6.5% of educational budget as reasonable expenditure on libraries. But this could vary say from 6.5% to 10% depending on the stage of development of each university library. It may also be suggested that, as a norm, a university should spend each year about Rs.25 for each student registered and Rs.300 per teacher.24

1.52 University library finances in Kerala

The state of finances of the university libraries in Kerala is not different from the national average. The position of university library finances in Kerala, a state with the highest literacy rate in the Indian Union, warrants a detailed investigation since the university libraries play a vital role in the advancement of higher education and research. As a planned economy the lion's share of the university finances comes from plan allocations. As such it comes as a part of the planning of higher education. Even though large amounts are seen invested in education in every five year plan it is felt that the major portion goes to staffing, building, laboratories etc. The university libraries which ought to get an equitable fiscal share do not get it. Because of this, university libraries in Kerala do not function at the
desired level of adequacy and efficiency to fulfil the objectives of higher education. The studies conducted on university libraries especially on fiscal aspects are few in number in India. In Kerala, this study is the pioneer attempt in the field. Considering all the aforesaid factors an attempt is made by the investigator to investigate the financing of the Kerala, Calicut and Cochin University libraries during the plan periods.

1.6 Objectives of the study

The main objective of the study is to examine the state of financing in the Kerala, Calicut and Cochin university libraries in Kerala during the Five year plan periods. More specifically the study is aimed at the following:

i) What are the sources of finance; their magnitude and trend?

ii) To examine the rate, trend and pattern of expenditure on salary, books and periodicals, contingencies, binding, equipments and furniture in relation to total university library expenditure;

iii) To estimate the library expenditure in relation to student enrolment and total university budget; and

iv) To ascertain the impact of finance on library resources and services based on user's point of view.
1.7 Hypotheses

The study starts with the following hypotheses.

a) The finances of the university libraries in Kerala are inadequate and far below the minimum as per the standards recommended by the library and education commissions.

b) The libraries fail to perform their functions at the desired level and organise satisfactory responsive services.

1.8 Methodology

The study is basically an analytical one. For this purpose both primary and secondary data were collected. The following research methods were adopted in the study.

i) Literature survey

ii) Questionnaire

iii) Observation

iv) Interview

1.8.1 Literature survey

An exhaustive literature search in the field of study was conducted. A number of published and unpublished sources were consulted. The official published sources included university budget papers, university annual reports, UGC reports, State and Central Government budget
papers, Five year plan proposals, Annual plans, progress report of annual plans etc published in various years. Other published literature, both primary and secondary, in the field of study was also used extensively. Besides, a number of unpublished records viz allocation registers, circulation registers, payment registers, overdue registers, cash book, acquittance registers and other related office files were consulted. The data collected from all these sources were used to analyse and compare the sources of finance, fiscal allocation and utilisation of the same in the university libraries in Kerala.

1.82 Questionnaire method

A questionnaire was prepared and distributed among the users (Appendix I). Since the population under study is large in number, sampling technique was used. To avoid sampling errors, stratified sample was taken from different strata of users viz researchers, teachers, students and graduate members. 660 questionnaires were distributed among the users in the three university libraries. Out of these, 494 were received duly filled up. Of the total questionnaires, 204 (out of 283) were received from the Kerala University library, 147 (out of 192) from the Calicut university library and 143 (out of 185) from the Cochin university library.
Questionnaire method was used with the intention of collecting data pertaining to the readers' opinions to ascertain the level of adequacy of the collection and services provided by the libraries under the study and also to elicit users' opinion in respect of anticipated sophisticated library services. Based on this data the actual requirement is identified and the financial implications were ascertained. In order to verify the findings arrived at from the questionnaire, observation and interview methods were also applied.

1.83 Observation method

Observation method was used for primary data collection in the different sections of the libraries under study to identify the various programmes/activities and to ascertain the adequacy of collection, equipments, services and manpower in order to fulfil the user's requirements.

1.84 Interview method

Interview was conducted among librarians in charge of various sections and university librarians. This was conducted by using interview schedules given in appendices II and III.
1.91 Scope of the study

In Kerala there are five universities viz university of Kerala, Cochin University of Science and Technology, University of Calicut, Kerala Agricultural university and Mahatma Gandhi university. Of these, Kerala Agricultural university does not have a university library. It has only departmental/college libraries. Mahatma Gandhi university is a newly established one which has only just started building up its library. Hence the study is limited to three universities having university libraries viz Kerala, Calicut and Cochin. The study is also limited to the first seven Five Year Plan periods.

1.92 Organisation of the study

The study is organised in nine chapters. A review of the studies in the field conducted in India and abroad is provided in chapter two as background of this study. In chapter three the trend of fiscal investment in the university libraries in the national and international scenario is provided. As a background to the field of study the origin and development of universities and university libraries in Kerala is given in chapter four. In chapter five the sources of finances to the university libraries from various sources such as university, UGC, other agencies etc and their quantum and trend are
discussed. A comparative account of sources of finances in the various universities in Kerala is also attempted here. In chapter six the analysis of the financial expenditure under different heads viz recurring and non-recurring expenditures in the universities under study is also given. Financial estimate of expenditure is given in chapter seven. Here methods like per capita and method of proportion are used. In chapter eight an evaluation of responsive services is given. Here data collected through questionnaire, observation and interview are used to ascertain the impact of finance on actual requirements of users. Chapter nine is devoted to the important findings of the study and their interpretation and makes a few recommendations for adequate fiscal investment and scientific fiscal management in the university libraries in Kerala in particular and the university libraries in India and the university libraries in third world countries in general.
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