



# Policies and Procedures for Establishing Branch Libraries and Educational Unit Library Collections in the University of Kentucky University System

## I. Purpose and Intent

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Branch libraries are units of the University of Kentucky University System Libraries, physically distinct from the William T. Young Library and the Medical Center Library, having two purposes: to provide subject-oriented collections of informational resources for an identified group of primary users and to extend the instructional, research, and public service support functions of the William T. Young Library and the Medical Center Library.

The intent in establishing a branch library is to meet a demonstrable need for access to materials and services which are not, or cannot be, provided by King Library or the Medical Center Library and a demonstrated need to have library support in close proximity to the educational unit.

Future developments in the form of published literature, in library techniques, and in the rapid transmission of printed materials through new electronic devices should minimize the necessity for outlying collections of library materials. The University wishes to take advantage of these advances in a responsible way and is committed to an orderly development of the University System Libraries (comprised of the William T. Young Library, the Medical Center Library, and their branches). This fact, in conjunction with the underlying principles of sound library development, has implications for branch library and educational unit library collection planning policies. The underlying principles are as follows:

The primary mission of the University System Libraries is to provide bibliographical, physical, and intellectual access to recorded information, in whatever form, to support the present and anticipate educational, research, and service functions of the University of Kentucky.

Scholarly needs and interdisciplinary approaches to learning are generally best served by access to a wide range of resources, including the literature of a special subject and all subjects of peripheral interest.

Accessibility of all institutional-owned library resources for all users must be a prime consideration. This implies physical access for extended hours and bibliographic access through a centralized on-line catalog.

Every duplicated title limits funds for other titles to be added to the collection; therefore, duplicating titles invariably diminishes the breadth of the collection. Conversely, pooling of material of overlapping subject fields makes possible expansion of available resources.

Coordination, cooperation, and communication are difficult to achieve in a system with a number of outlying facilities.

The various academic disciplines should play a strong role in determining the scope and quality of the collections of the University System Libraries and the quantity of services provided in support of the Libraries' major missions and functions.

The University System Libraries are committed to fiscal responsibility in cost-effective utilization of staff and equipment in both the central library and in the branches.

Educational unit library collections are small libraries, sometimes called reading rooms or resource centers, supported by University funds but not affiliated with the University System Libraries. Materials in these libraries are defined as those working tools that faculty must consult on a daily or very frequent basis in support of their teaching and research.

## II. Policy Statements

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### A. General Policies

#### 1. Branch Libraries

The University has a policy of not further decentralizing library facilities on the Lexington campus unless special services are needed by a program that the King Library or the Medical Center Library cannot provide or provide as well as a branch library. A decision on establishing a branch library is reached only after a present and long-range study of available resources and user needs.

#### 2. Educational Unit Library Collections Independent of the University System Libraries

If justified, small collections (limited to dictionaries, textbooks, workbooks, handbooks, and other working tools regularly used by faculty) may be procured for educational unit use in accordance with the provisions of Section IV, entitled Procedures for Establishing an Independent Educational Unit Library Collection.

### B. Administrative and Organizational Policies

#### 1. Management of Resources

The responsibility for the management of all University System Libraries resources shall rest with the University System Libraries administration. Library services are most efficiently utilized when all library resources are considered part of one system, with consistent policies for collection development, user access, accounting, systems analysis, and the like. Centralized planning and direction facilitate the most effective use of future financial resources allocated for library services.

#### 2. Administrative Structure

Ordinarily, any branch library should be administratively part of the William T. Young Library or the Medical Center Library. Branch library personnel should report to the administration of the William T. Young Library (directly or through one of its branches) or the Medical Center Library. This relationship should be defined in job descriptions and outlined on organization charts.

Designing, developing, and administering library programs and adequate collections to meet changing user expectations and demands requires continuing professional growth of librarians charged with these responsibilities. The most effective means of assuring this growth is by participation within a central group.

### 3. Financial Support

Implicit with the creation of a branch library is a commitment to funding its development, ongoing services, and growth while maintaining adequate support levels for library services required by the total University community. Continuing book and personnel budgets are imperative for a branch library, with additional book funds initially provided for necessary duplication as well as enrichment of the existing collection.

## C. Operational Policies

### 1. Statement of Purpose

Written statements of purpose, including goals and objectives, are necessary guides for a branch library's operation. These should state the educational unit's goals and the branch library's role within this context. These statements should be determined carefully, described clearly, and updated regularly.

### 2. Collection Development

Coordination of the branch library's materials selection policy with the University System Libraries' selection policy assures the most effective use of the University's collection development resources by preventing unnecessary duplication of materials and by preventing gaps in subject coverage within the library collections.

### 3. Technical Processing

In most cases, centralized acquisition and processing of library materials proves to be most economical. All holdings of a library should be listed in the on-line catalog which is maintained by the University system libraries.

### 4. Services

Branch libraries are expected to maintain the same standards of service as the University System Libraries with respect to hours of service, assistance to users, and accessibility to and utilization of informational materials by the total University community.

### 5. Staff

The branch library's staff is a primary link between user needs and the branch library's collections. Competent and adequate staffing is necessary to ensure the proper development and use of the branch library's collection.

### 6. Physical Quarters

Physical quarters designed to provide specialized branch library needs are essential to a successful branch library operation. Criteria to be met include: space for present and future growth in terms of collection, equipment, and patron use; accessibility to primary users; noise control; temperature and humidity control; collection security; and an interior conducive to study.

## D. Review Policy

A formal, structured review and evaluation of each branch library and independent educational unit library collection shall be scheduled every five years. If justified reasons arise, a review at other than

the regular period may be initiated by the chief administrative officer of the educational unit, by the appropriate chancellor, or by the Director of Libraries or the Director of the Medical Center Library.

### III. Procedures for Establishing a Branch Library

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#### A. Needs Analysis

To determine whether it is in the best interest of the University to establish a branch library, a needs analysis must be made. This analysis accounts for primary clientele requirements as well as those of the entire academic community and includes supporting data concerning the following points.

##### 1. Description of Proposed Branch Library

A description of proposed branch library services shall include:

- a. Its primary clientele and their information needs.
- b. Geographical location of the proposed branch library in relation to primary clientele and to the total community of users.
- c. Collection development, administrative organization, and operation plans including projections of maximum size.
- d. User services to be provided, including hours of access and on-site staffing requirements.
- e. Access to union catalogs, specialized information systems, and delivery services including interlibrary loan.
- 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.

##### 2. Description of Existing Library Services

A description of existing library services shall include:

- a. Informational needs of the total University community defining both general and special requirements.
- b. Geographical location of present library facilities in relation to user 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. Electronic catalog access, delivery systems, interinstitutional networking participation, and specialized information system
- f. Space and equipment requirements, including growth projections to meet changing needs.

##### 3. Comparative Analysis of Existing and Proposed Library Services

A comparative analysis of proposed branch library services and existing library services shall be provided using each of the factors identified in points one and two. Note shall be made of the following:

- a. Restrictions on user access to collections and services such as geographical location, transportation facilities, delivery service for library materials, hours of service, staffing assistance, and special use privileges for a defined group of clientele.
- b. Collection development and arrangement requirements, including the cost of duplicating existing library resources and developing new subject collections.
- c. Space and equipment requirements, including the cost of establishing and maintaining new facilities in fiscal terms and in use of existing space presently used in meeting other academic needs.
- d. Financial support requirements, including long-range projections to meet growth needs. An educational unit may choose to fund a position or positions and all or part of the book budget by a recurring transfer from user organization budgets to the William T. Young Library or the Medical Center Library. Personnel in such positions report administratively to the administration of the William T. Young Library or the Medical Center Library. This decision should be reflected in a review of the University's long-range projections for financial support of its library program.

#### B. Proposal Approval

A proposal to create a branch library must have the approval of the chief administrative officer of the initiating educational unit, the dean of the college, and any other appropriate councils or bodies. The proposal shall be forwarded by the appropriate dean or administrative officer to the Director of Libraries or the Director of the Medical Center Library. The Director shall supply a statement of administrative feasibility with a recommendation to the appropriate chancellor who shall make the final decision.

## IV. Procedures for Establishing an Independent Educational Unit

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### Library Collection

#### A. Documentation of Need

An educational unit proposing to establish an independent educational unit library collection shall prepare a documentation of need for such a collection, including supporting data parallel to that required for the establishment of a branch library.

#### B. Materials Purchased

Materials purchased for independent educational unit library collections shall be limited to dictionaries, textbooks, workbooks, handbooks, and other working tools used by faculty on a daily or very frequent basis in support of teaching and research.

#### C. Financial Support Statement

A statement covering financial support is a vital part of a proposal to establish an independent educational unit library collection. University educational units which use their own resources to establish independent educational unit library collections outside the established University System Libraries must accept complete responsibility for operating and maintaining these collections. The University System Libraries normally shall not provide technical services or personnel in support of these collections.

#### D. Inclusion in the Library Catalog

In order to effectively utilize the University's information resources, records of books purchased for independent educational unit library collections shall be supplied to the University System Libraries for inclusion in the on-line Catalog.

#### E. Proposal Approval

A proposal to create an independent educational unit library collection must have the approval of the chief administrative officer of the initiating educational unit, the dean of the college, and any other appropriate councils or bodies. The proposal shall be forwarded by the appropriate dean or administrative officer to the Director of Libraries or the Director of the Medical Center Library.

The Director shall evaluate the relative costs and benefits of the proposed independent educational unit library collection and the extent to which alternative solutions have been explored. The Director shall forward a report of findings and a recommendation on the proposal to the appropriate chancellor for review in terms of the policies, criteria, and procedures in this Administrative Regulation. The appropriate chancellor shall make the final decision concerning the creation of an independent educational unit library collection.

## V. Procedures for Reviewing and Evaluating Branch Libraries and Independent Educational Unit Library Collections

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#### A. Needs Analysis

To determine whether it is in the best interest of the University to maintain, to improve, or to close a branch library or an independent educational unit library collection, a needs analysis must be made.

1. The Director of Libraries or the Director of the Medical Center Library shall be responsible for conducting the analysis of a branch library.
2. The chief administrative officer of the educational unit shall be responsible for conducting the analysis of the unit's independent library collection.
3. The analysis shall include supporting data parallel to that required for the establishment of a branch library.

#### B. Review Recommendations Approval

##### 1. Branch Libraries

The Director of Libraries or the Director of the Medical Center Library shall forward review recommendations to the appropriate dean of the college or the chief administrative officer of the educational unit. The dean or chief administrative officer shall supply an advisory statement to the appropriate chancellor or vice president. The chancellor or vice president shall determine whether it is in the best interest of the University to maintain, to improve, or to close a branch library.

##### 2. Independent Educational Unit Library Collections

The dean of the college or the chief administrative officer of the educational unit shall forward review recommendations to the Director of Libraries or the Director of the Medical Center Library. The Director shall supply an advisory statement to the appropriate chancellor or vice president. The

chancellor or vice president shall determine whether it is in the best interest of the University to maintain, to improve, or to close an independent educational unit library collection.

## Revision History

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For questions, contact: [Office of Legal Counsel](#)