

中美图书馆实务培训教材

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Academic Libraries in the United States
for the 21st Century:
Theories and Practices

21世纪

美国大学图书馆运作的 理论与实践

经过一百多年来的发展，尽管经历了来自各个方面的、各式各样的挑战，图书馆在美国大学的中心地位依然未变。大学图书馆已成为美国各大学的学习中心和科研支持中心。



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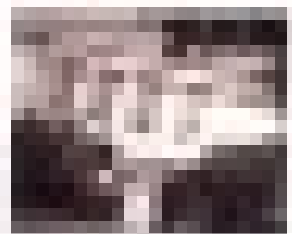
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中国图书馆学会图书馆分会

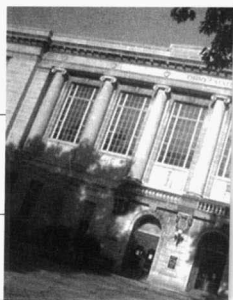
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序

中国图书馆学会荣誉会员
美国华人图书馆员协会执行理事长
曾程双修

20 世纪 80 年代初以来,承中国高校图书馆指导委员会和前北京大学图书馆庄守经馆长的邀请,我首次到国内北京、上海、武汉、成都和广州五大城市的大学与公共图书馆讲学,之后又蒙中国图书馆学会及国内主要大学与公共图书馆的邀请,多次回国讲学,足迹遍及大江南北。我还积极带领中美专家,参与国内的图书馆会议,通过讲座与研讨会的方式,将美国图书馆学界的最新信息带到国内,以期增进中美图书馆界的交流与合作,促进图书馆事业的发展。在跨世纪的近二十余年,随着现代科学技术突飞猛进的发展,中国图书馆从手工操作向计算机自动化、数据化、电子化、数字化迈进,图书馆资源也从以纸张出版物为主到增加了缩微品、多媒体、光盘,进而发展到今日的网络化资源比比皆是。中国自改革开放以来,尤其是 20 世纪 90 年代以后,经济发展突飞猛进,带动科学文化事业也迅速地发展。在频繁的学术交流中,我亲眼见到国内的图书馆事业,在图书馆同道们的努力下,以中国人的聪明才智,积极吸取国外作业的宝贵经验和教训,缩短尝试的历程和时间,跨越无数不必要的探索与障碍,而直接走向成功之路。加上国内政府的重视,在经费上对图书馆的发展给予大力支持,因而国内图书馆事业,近年来蓬勃发展,与时俱进,一日千里,获得可喜的成果,有目共睹。能够见证国内图书馆迈向现代化的历程,我感到无比欣慰,也深深引以为荣!

承《21 世纪美国大学图书馆运作的理论与实践》主编,俄亥俄威斯利安大学图书馆金旭东副馆长寄初稿给我,邀请我为本书作序。看到这本 40 万字的图书馆学巨著,我不禁深深地感动,欣然为序。金旭东和美国华人图书馆员协会李海鹏会长和李国庆教授两位副主编和多位编辑成员,如付荔、蒋树勇、潘

俊林、苏陶珠、王汉荣、温时幸、袁海旺、赵力沙等,都是美国华人图书馆界的精英,他们大多拥有十年以上在大学图书馆各个部门管理或工作的丰富学识和经验,工作范畴涵盖图书馆行政、技术服务、公共服务、资讯系统及东亚馆各部门。本书是他们2006年夏在云南成功讲学后,在数月内夜以继日,从图书馆运作的不同角度,参考收集有关最新资料,扩充教材内容,同时结合本身的专业学识,潜心研究,共同编写的著作。三位主编周密计划,统筹安排,并分别编写具体的章节;各位作者不辞辛劳,付出大量心血,在很短时间内交稿,把他们的学识专长和经验,编写出来和中美图书馆同仁共享,难能可贵,敬业乐业的精神非常可嘉。

本书共14章,每章平均约2万字,编写范围广泛,所涵盖内容亦相当全面,是一部精心研究的著作。其主要内容包括:美国大学图书馆的历史、沿革和发展;在图书馆管理方面,包括了馆员的编制、职务评鉴、考核、晋升、培训,财务管理,团队工作,政策制度等;在公共服务方面,涉及参考咨询服务的理念及具体操作,包括咨询台服务、虚拟咨询服务和如何进行咨询面谈;公共服务的另一个重要方面,学科馆员与教学也有专门一章,论及学科馆员的定位、职责和如何与师生进行互动;馆藏建设一章中对馆藏建设的定义、步骤、形式、内容都有论述;在技术服务方面,采购、编目、连续性出版物等几章写得都很全面并很有深度;此外,数字图书馆、资源共享、网站服务及技术、社会服务、其他部门等几章,都从各个不同的角度,论及美国大学图书馆的其他重要方面。本书应用大量最新文献和数据,对美国图书馆界的相关研究成果和理论作了系统的介绍和评述,将理论与实践融合在一起,详略得体,深入浅出,通俗易懂,内容扎实。虽然偏重于介绍美国大学图书馆的运作,对其他类型的图书馆也不乏参考价值,是一部完整而综合的参考工具书和教科书。我深信它出版后将会受到中国图书馆学界的普遍欢迎。

自从20世纪末叶以来,高科技发展进步神速,知识不断更新,网络和数字图书馆的开发,新型的出版物和新资源不断发明和运用,图书馆的传统作业,不敷所需,所有部门也因应变而需重新研讨操作和服务方向。在这种情况下,对继续教育的需求更为迫切。图书馆不但要培养新型人才,还要加强对在职人员的培训,在较短时间内,传授新的专业知识和技术,提升馆员的素质和技

能,以便迎接新的挑战,更好地服务社会大众。我深信《21 世纪美国大学图书馆运作的理论与实践》一书,以其丰富的内容,可作为研究美国图书馆作业的参考和教材,为进一步发展国内图书馆事业做出贡献。希望国内同仁以此书为借鉴,参考西方现代图书馆事业发展的趋势,配合自己的实际与需要,融会贯通,制定 21 世纪图书馆行之有效的管理政策、服务方针和整体计划,进而鼓励社会大众利用图书馆丰富的馆藏及网上资源,以达到以人为本的优质服务的目标。

图书馆是人类知识的宝藏,现代化图书馆不仅要保存知识,更要合作开发、组织、管理和传播知识,运用最新科技,提供更加优质的服务。国际互联网给图书馆带来了翻天覆地的变化,有目共睹。用户的需求不断增长,搜索和选择信息资料的方式不断进步,为国际知识资源共建共享创造了有利的条件。同时,虚拟图书馆的巨大功能也正在显现出来。图书馆事业正处于高速发展时期。中国图书馆事业历史悠久,历史遗产丰富,国内高瞻远瞩的图书馆领导,掌握新知,将图书馆的发展奠定在社会大众的需求和先进科技的基础上,从理论与实践方面,承担起时代赋予图书馆的使命,建立了行之有效的图书馆发展规划。我衷心希望,中美图书馆专家、教育界和学术界,进一步携手合作,加强交流,促进图书馆事业的不断创新,进一步树立读者第一,服务至上的思想,提供更加优质的服务。同时,我也希望国内图书馆继续引进现代化图书馆管理思想和方法,继续增加现代化技术和设备,加速国际和区域性的合作,进一步发掘、利用和融合美国和西方国家图书馆的成果,使当代中国的图书馆作业既符合世界潮流,又具有中国特色,为中国图书馆事业的发展创造更加辉煌的成果!

在美国华人图书馆员协会李海鹏会长和金旭东等人的推动下,美国华人图书馆员协会将联合云南省高校图书馆工作委员会、云南省图书馆学会、东北师范大学、山西农业大学等,于 2007 年 7 月举办四个培训班,积极与中国图书馆界进行交流与合作。本书将作为教材之一,使参加培训者在会前会后有充分的时间研讨内容,从而获得更大的收益。愿大家共同为促进图书馆事业的发展而努力!

Preface

by

Sally C. Tseng

Honorary Member of the Library Society of China

Executive Director, Chinese American Librarians Association (CALA)

University of California, Irvine Libraries, Retired Librarian

Mr. Xudong Jin, Associate Director of Libraries at Ohio Wesleyan University Library, sent me a draft of this book and invited me to write the preface. I am delighted to see this practical and useful book, entitled “Academic Libraries in the United States for the 21st Century: Theories and Practices”.

This book contains 14 chapters, is approximately 300,000 words in length, with about 20,000 words for each chapter. It focuses on theories and practices. Key components range from traditional library practices to innovative changes and developments in American academic library operations. Chapters on library management cover library and fiscal management, position profiles, librarians’ competencies, continuing education and professional development, teamwork and policies, etc. The chapters on public services discuss theories and practices of both in person and virtual reference services. Another chapter deals with other important aspects of reference librarians’ work, subject bibliographers, library instruction, and work with faculty, students and community users. The chapter on library holdings discusses collection development policies and processes. Chapters on technical services cover acquisitions, cataloging, continuing resources and new roles of publishers, distributors and vendors, knowledge management and organization, and the developments of Resources Description and Access (RDA) and the impact of Functional Requirements for Bibliographic Records (FRBR). In addition, there are chapters on digitization and preservation, digital and virtual

libraries, resource sharing, creation of OPAC, Websites and technical support, and transforming library management to meet new challenges and user needs. Chapters also discuss the effect of new technologies that will provide better practices for enhancing library services and operations, fostering consortia, partnerships and library cooperation, and other important operational aspects.

In the early 1980s, I was invited by Director Shou-jing Zhuang, then Library Director of the Peking University Libraries, and Chair of the Chinese Higher Education Library Steering Committee to give a series of lectures in China for universities and public libraries in Beijing, Shanghai, Wuhan, Chengdu, and Guangzhou. Since then, I have been frequently invited to give lectures and workshops all over China by leaders of the China Ministry of Education, Library Society of China (English name before 2005: China Society for Library Science), academic, provincial and public libraries. In addition, I have been leading library delegations to China to attend national and international conferences. These delegates are from American libraries. Many are members of the Chinese American Librarians Association. During the past three decades, CALA has tried to play a significant role in building connections and relationships between libraries and librarians in China and America and has invited Chinese library leaders to visit and to speak in the United States. These activities, programs and presentations have enhanced communication, networking, understanding and visibility among Chinese and American librarians and have allowed for them to take part in the American mainstream. Based on my experience, I know that this book is a much needed publication for practical, up-to-date library training materials and a useful reference tool.

We have witnessed Chinese libraries going through revolutionary developments and dynamic growth during the past three decades, especially since the 1990s. The Chinese libraries have leaped forward from their experimental period to achieve modernization by applying the strengths and experience of other libraries and adopting new technologies in their operations, thanks to the hard work and

leadership of Chinese librarians and the strong funding support by the government. The operations of Chinese libraries have advanced from manual to computerized operations. Libraries are engaged in numerous ambitious projects such as the construction or expansion and renovation of library buildings, the conversion of libraries' catalogs to online open access catalogs (OPAC) onto WebPAC. Chinese libraries have moved further to preserve their collections and treasures. A full spectrum of digitized and electronic resources, including rare books, classics, images, manuscripts, maps, movies, music, objects, paintings, photos, and many national treasures are available on the Web. These resources constitute the distinctive strengths of modern Chinese libraries characterized by the creation of virtual libraries resulting from the World Wide Web Revolution. Nevertheless, libraries still face new challenges and opportunities in providing innovative services for users in the 21st Century. Continued education and professional development have become an absolute necessity for practicing librarians to meet these fast pace and dynamic changes and developments. Librarians have been reevaluating their services and to develop new plans and programs to meet the challenges and the needs of users in the 21st Century for all types of libraries. No one library can afford to hold all relevant information and resources. This book is well-positioned at the attempt to address these challenges.

I thank the authors for their invaluable contributions to this book. CALA is very fortunate to have these outstanding members: Xudong Jin, the Chief Editor, and Associate Editors Haipeng Li, CALA President, and Professor Guoqing Li, Head of Chinese Studies of the Ohio State University, together with other authors: Li Fu, Shuyong Jiang, Junlin Pan, Julie Su, Hanrong Wang, Shixing Wen, Haiwang Yuan, and Lisa Zhao. The authors are experts in their fields. Many of them have more than ten years of experience. They have spent a great deal of time preparing, researching, collecting data and statistics, and writing chapters using their expertise and experience. They work hard in writing about the past, present, and future of the American academic libraries. It is a comprehensive masterpiece

of library literature which addresses the issues and challenges with solutions. Their tireless efforts in sharing their specialized knowledge and invaluable research, and their dedication to the profession are extremely commendable.

While this book focuses on the operations of academic libraries in the United States, the contents are of great value to other types of libraries. It provides important information and resources for administrators, educators, researchers and librarians and will be an excellent reference tool and teaching textbook. This book, together with the establishment of the CALA 21st Century Librarian Seminar Series, is inspiring to all concerned. It will encourage more librarians to devote their expertise and efforts to the library profession. It will help fulfill CALA's mission to bring librarians, knowledge and information together in a timely and cost-effective manner so that we can effectively serve users and enrich their lives in the community.

前 言

《21 世纪美国大学图书馆运作的理论与实践》是由多位编者通力合作共同完成的。他们是付荔、蒋树勇、金旭东、李国庆、李海鹏、潘俊林、苏陶珠珠、王汉荣、温时幸、袁海旺、赵力沙,共 11 人。金旭东、李国庆、李海鹏承担了全书的策划、统筹、组织、大纲撰写、审稿和统稿工作。

本书的缘起,可追溯到 2005 年夏天。当时笔者从美国俄亥俄回中国昆明探亲,应时任云南大学情报档案学院院长的杨勇和云南大学图书馆馆长的王永林之邀,为其作几个学术讲座。云大是我的母校,为其作学术讲座不但理所应当,而且倍感亲切。临行之前,同李海鹏议论此事,两人都觉得可以利用此次机会,打开一个美国华人图书馆员协会同国内图书馆学界进行正式的、有计划的、连续性的学术交流的新渠道,完成李海鹏、李国庆、温时幸和我等几人策划已久的夙愿。再同即将接替我成为美国华人图书馆员协会中西部分会会长的付荔协商,亦得到她的赞同与支持。

第一个讲座“美国大学图书馆的管理与运作”于 2005 年 6 月 29 日在云南大学举行,参加的有来自云南省各大学图书馆的二十多位馆长、副馆长。讲座之后,云南省高校图书馆工作委员会和在座的图书馆馆长们与笔者开了一个会,在王永林馆长和已故云南省高校图工委副主任兼秘书长、云南师范大学图书馆馆长杨德华的大力倡导和与会各图书馆馆长们的支持下,决定来年夏天由我带队,在美国华人图书馆员协会中西部分会中选派五位资深会员,到昆明举办“中美图书馆实务”培训研讨会暨 21 世纪图书馆员培训班。

2006 年“中美图书馆实务”培训研讨会如期举行。由于举办方云南省高校图工委和云南大学图书馆计划周密,五位美方专家李海鹏、蒋树勇、赵力沙、袁海旺加上我本人准备充分,讲题切中要害,深受来自北京、辽宁、山东、广西、湖北和云南等省市 22 个大学图书馆的 60 多位领导及馆员的好评及欢迎。中国高校图工委、云南省高校图工委、美国图书馆协会等,对此次培训都做了专门报道,并给予很高的评价。培训结束后,美方专家与云南省高校图工委进行

了座谈并达成协议,第二届“中美图书馆实务”研讨会定于2007年7月在昆明举行,由云南省高校图工委、美国华人图书馆员协会共同主办,云南师范大学图书馆承办。不久,云南省图书馆学会和云南省图书馆、东北师范大学图书馆、山西农业大学图书馆也相继表示愿意与美国华人图书馆员协会共同举办类似的培训活动。

美国华人图书馆员协会对这一进展予以高度重视。时任美国华人图书馆员协会会长的李海鹏和执行理事长曾程双修从一开始就给予全力支持。2006年夏天当我在昆明商定来年的两项培训协议书时,曾收到他们的电话及电子邮件,表示支持与赞同。特别是李海鹏,他本人作为美方专家的一员,不仅参加了在云南大学的培训,还亲自与东北师范大学和山西农业大学联系,签订了临时培训协议。此后,他还主持了在线美国华人图书馆员协会执行理事会,充分肯定了2006年云大培训研讨会的深远意义,将其定为“美国华人图书馆员协会21世纪图书馆员培训系列”第一届培训。在2007年1月美国华人图书馆员协会理事会西雅图会议上,正式批准了美国华人图书馆员协会国际关系委员会拟定的“美国华人图书馆员协会21世纪图书馆员培训系列”第二届培训计划。由16名成员组成的4支精心挑选的美国华人图书馆员协会培训代表队,将于2007年7月分别奔赴云南、山西和吉林,对数百名来自全国各地的图书馆员进行系统的培训。

还在2006年夏第一届培训时,不少学员就提出希望美方专家提供教材。此前在准备第一届培训的培训大纲时,笔者就发现这份大纲完全可以整理成一部介绍美国大学图书馆的书稿的大纲。在征得美方培训讲员和培训策划者对这一设想的认可后,书稿大纲由李国庆带到北京图书馆出版社代为联系,并于2006年8月获出版社的初步认可。

此后即开始了一系列紧张的工作。主编和两位副主编一遍又一遍地修改写作大纲,根据每人的专业和专长,将此教材的章节分配给十余位作者,并根据出版社的书稿截止日期,分别制定了全体作者完成详细提纲、提交写作样本以及完成初稿的日期。国庆自收到初稿后就一头扎在整部书稿里,对整部书稿的编辑、整理、统一和规范付出了大量艰辛的劳动。国庆还自始至终负责与出版社的联系工作。海鹏则为书末所附的参考期刊、书目和参考网页花时间

作了统一的工作,并提出了很多有益的、建设性的意见。我本人除了以上工作外,更多的是负责整部书稿的统筹与设计、章节的增删改动,与作者和两位副主编的协调、协商等。

本书作者阵容强大。除了参加第一届“美国华人图书馆员协会 21 世纪图书馆员培训系列”的授课教师 and 培训策划者金旭东、李海鹏、蒋树勇、赵力沙、袁海旺、李国庆、付荔和温时幸外,根据编写的需要,还增加了潘俊林、苏陶珠珠、王汉荣 3 人。在 11 位作者中,每位都获得了美国图书馆学会认可的图书馆学硕士学位,都有专著或论文出版,并且大多数在美国大学图书馆中都有 10 年以上的工作经验。每章的作者,大多做的就是这方面的工作,也是该章内容的专家,做到了“专业对口”。除了专业以外,每位作者还花了大量的精力和时间,对自己所负责的章节进行资料搜集和深入研究,力求将自己所负责编写的领域的基本情况、来龙去脉搞清楚,结合自身的工作经验,进行全面的、综合性的分析,然后再上升到理论的高度,把每一章的情况如实地反映出来。赵力沙在美国伊利诺伊州立大学芝加哥分校图书馆从事编目工作近 17 年,所以她根据自己的亲身体会并参阅大量资料,将第七章“编目管理”的历史、功能、规则、系统、内容及机遇与挑战写得有理有据、扎实可靠。她负责的第九章也十分广泛全面,对全书具有拾遗补缺的重要作用。李海鹏自 1992 年起就先后在多个大学图书馆从事参考咨询服务工作,所以他写的第三章不仅全面深刻,而且深入浅出,生动感人。蒋树勇博士研究功底深厚,所写第四章和第十三章旁征博引,全面而有见地。温时幸和苏陶珠珠分别是大学图书馆技术服务部和期刊部的负责人。他们所写的资料采购和连续出版物两章,不但内容翔实,而且从部门管理者的角度,在理论上和实践上把这两章写到了应有的高度。付荔多年来在大学图书馆从事图书馆系统和网页设计工作。她负责的第十一、十二两章写得十分精炼,并且在未来展望方面有着自己独到的见解。潘俊林、王汉荣在所写的领域或有论文发表,或有专门研究。李国庆和袁海旺著述甚丰,在他们各自所负责的一章中可谓驾轻就熟。

由于本书是多位作者分章编写,在编辑过程中,我们注重在各章内容上严格把关,尽量避免重复。我们还注意了专用词语上的统一与规范化。为方便国内作者,我们把一些近年来出现的新词,如信息共享空间(Information

Commons)等,在其第一次出现时标出了英文,下文再次出现时则不再标示。除了用词上的统一外,我们还注意了注释的统一、格式的统一等等。在以上这些方面,李国庆花了大量的工夫和时间。

全书各章节编写的具体分工情况如下:

第一章:由金旭东编写;

第二章:第一、第三至第五节由金旭东编写,第二节由潘俊林编写;

第三章:由李海鹏编写;

第四章:由蒋树勇编写;

第五章:由王汉荣编写,

第六章:由温时幸编写;

第七章:由赵力沙编写;

第八章:由苏陶珠编写;

第九章:由赵力沙编写;

第十章:由李国庆编写;

第十一章:由付荔编写;

第十二章:由付荔编写;

第十三章:由蒋树勇编写;

第十四章:由袁海旺编写;

附录一:由李海鹏整理。

在编写过程中,本教材广泛吸取了国内外的大量相关研究成果,参考和引用了许多图书馆学专家学者的有关著述,在此谨致以衷心的感谢!感谢美国华人图书馆员协会曾程双修专业发展基金的部分资助!感谢曾程双修女士为本书撰写序言。最后要特别提出的是北京图书馆出版社社长兼总编辑郭又陵先生和图书馆学编辑室主任宋安莉女士,他们对本书的选题、编写和出版一直给予高度的重视和大力的支持,在此特致以崇高的敬意和衷心的感谢!

金旭东

2007年4月

于美国俄亥俄

INTRODUCTION

This book, *Academic Libraries in the United States for the Twenty-first Century: Theories and Practices*, is written by multiple Chinese American librarians, including Li Fu, Shuyong Jiang, Xudong Jin, Guoqing Li, Haipeng Li, Junlin Pan, Julie Su, Hanrong Wang, Shixing Wen, Haiwang Yuan, and Lisa Zhao. Xudong Jin, Guoqing Li, and Haipeng Li served as editors and were responsible for planning, organizing, editing and assembling the book as well as for checking it for consistency.

The beginning of this book traces back to the summer of 2005. When my wife and I were planning our trip back to Kunming, our hometown, to visit our families, I received invitations to teach several seminars from Ms. Yang Yong, Dean of the College of Information and Archives, and Mr. Wan Yonglin, Director of Library of Yunnan University, which is my alma mater. I felt very honored and knew this was an opportunity to repay what had done to educate me. When I discussed this with Haipeng Li, Librarian of Oberlin College, both of us thought I should use the opportunity to establish a new way to promote the academic exchanges going on between Chinese and American libraries on a formal, well-planned and sustainable basis. Such an idea had been our dream for years. When I talked with Li Fu, the next President of the Chinese American Librarians Association Midwest Chapter (CALAMW) after me, I also received her support.

The first seminar, "Management and Operation of American Academic Libraries," was held in Yunnan University on June 29, 2005. More than 20 directors and associate directors of college and university libraries participated in it. After the seminar the officers of the Yunnan Provincial Commission of Academic Libraries (YPCAL) and the library directors concerned had a meeting with me. Initiated by Wan Yonglin and Yang Dehua, the late Vice Chair and General

Secretary of the YPCAL and Director of Yunnan Normal University Library, and supported by the directors, a decision was made to invite a team of Chinese American librarians led by me to conduct a librarian training seminar in Kunming in the summer of 2006.

The seminar was a great success because it was well planned by the YPCAL and Yunnan University and well taught by the five Chinese American librarians, Haipeng Li, Shuyong Jiang, Haiwang Yuan, Lisa Zhao and me, who had hit the right topics. The 5-day seminar was well received by more than 60 librarians from 22 libraries from Beijing and the provinces of Liaoning, Shandong, Guansi, Hubei and Yunnan. The National Commission of Academic Libraries of China, the YPCAL, and American Library Association reported the event in the media. In fact, the seminar turned out to be so successful that the YPCAL requested the group to go back for the next two years in a row. Built upon the success, the Chinese American Librarians Association (CALA) has decided that the 2007 seminar will take place in three other institutions in China, namely, the Yunnan Library Association in conjunction with Yunnan Provincial Library, the Northeast Normal University in Jilin Province, and the Shanxi Agriculture University in Shanxi Province.

CALA attaches great importance to such academic exchanges. The then President Haipeng Li and Executive Director Sally C. Tseng have been supportive from the beginning. Even when negotiating two of the four agreements in Kunming in the summer of 2006, I received phone calls and email messages from them to show their support and approval. As one of the five lecturers, Haipeng Li not only taught in the seminar, but also signed the other two draft agreements with the libraries of Northeast Normal University and the Shanxi Agriculture University. He also called online meetings for CALA Executive Board to recognize fully the significance of the 2006 Yunnan seminar and give it an official name "The 21st Century CALA Librarian Seminar Series." At the CALA Board meeting in Seattle in January 2007, the Board of Directors approved the plan for a second seminar.