



大学转型与馆藏评价和建设: 以上海财经大学为例

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ONE Introduction 引言

◆ Background 研究背景

➤ Shanghai University of Finance and Economics (SHUFE) has been set a goal from an institute of typical numerical-growth to that of quality-strengthening, and one from that of teaching-research to research.

□ **从数量型向质量型、教学型向教学研究型转变。**

➤ Library is needed to be transformed from a type of teaching-supporting to that of academics-leading.

□ **图书馆也将从教学支持型向学术型转变。**

For this, collection assessments should be operated.

◆ Review 文献综述

- Library collection assessment is the observation and evaluation to the properties of the collection systems, included in which are parameters of collection scale and structure, the collection's academic value and the use of collections.
- Traditional library collection assessments include a series of parameters applied step by step to measure collection scale, quality, structure and efficiency.
- In the past hundred years' library collection development practice, two theories have been influential, *i.e.*, the Theory of Demand (Lionel, 1925) and the Theory of Value and Quality (Haines, 1950).
- ▣ 我们认为，近百年来中外图书馆建设基本上是围绕着上述“需求理论”和“价值与质量理论”两种思想展开的。

◆ Method 研究方法

- This research takes **books collection assessment** of the SHUFE Library as **case**, under a **framework of demand-supply analysis**, by **method of resource survey**.
- 采用了供求分析（一般均衡模型）的案例方法进行馆藏评估。
- 其中，馆藏结构分析方法，北大的吴慰慈、刘兹恒先生等有先行研究，时贤不断有深化。



◆ Purpose 研究目的

- Study the relationship between the university discipline advancement and the book collection building,
 - 探索大学的学术、学科发展与图书馆馆藏建设的关系
- Find approaches to assess library collection quality,
 - 合理地进行馆藏评价
- Discuss collection building principles for the university libraries under transition.
 - 探索学术型图书馆馆藏建设的基本原则

◆ Originality 研究意义

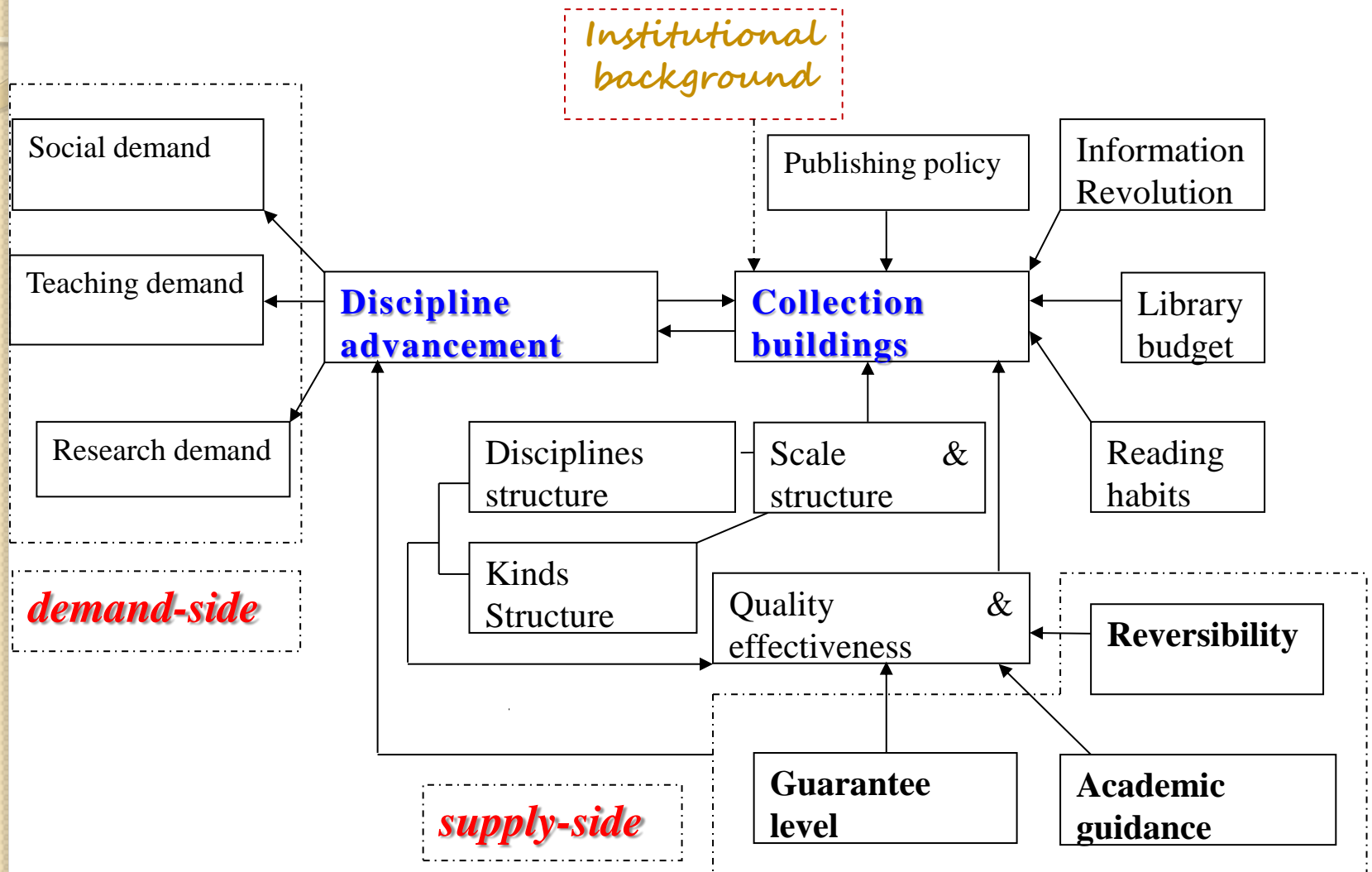
- The paper falls into the category of “case study” and provides an overview and insights of the relationship between academic discipline developments and practice of collection managing aspects in China university’s strategic transformation.
- 通过案例研究的方法，“解剖麻雀”，探索大学战略转型过程中的图书馆转型之路。

TWO University transformation and library: Demand Analysis

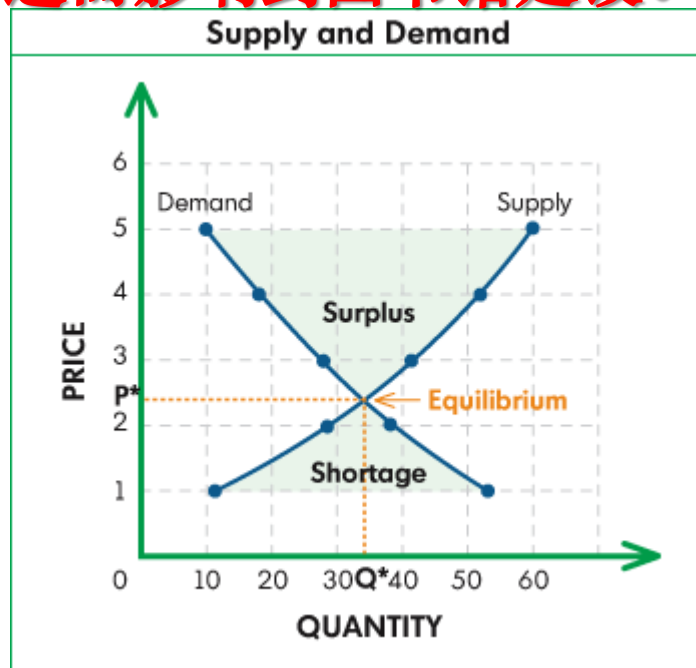
二、大学转型与读者需求分析



1. 大学学科与馆藏发展的相互影响



- **图书馆的变化是从读者用户的需求变化开始的。**
- 在需求一侧, 一个大学的学科变化主要是社会需求、教学和科研需求带动的。而这种学科的变化直接导致图书馆馆藏结构的一定比例。一般情况下, 大学图书馆的馆藏建设往往必须按照主干学科/核心学科展开。
- **但是, 大学战略转型将会直接改变了学科结构和教师队伍结构, 进而影响到图书馆建设。**



2. 上海财经大学转型战略对图书馆及读者的影响

- **上海财经大学转型战略目标**
- SHUFE plans to build a multi-disciplined research university under the academic goals of modernization, internationalization, and informationization, realizing an entire transformation from currently a teaching-research institute.
- ▣ **上海财经大学战略转型的影响将是全面的，既影响到教师、学生，也影响到图书馆馆藏建设和队伍建设。**

读者一般结构，但在变化中...

□ Faculty

- Up to **1055** employees is the **faculty** team, within which **544 are professors and associate professors**, while over **60%** of the faculties **holding PhD degrees**, above **37%** of the **faculties experienced overseas studies** at least once.

□ Students

- the number totals at 13537, in which 1001 are doctoral students, 1208 academic master's students, 4113 career master's students, 7838 undergraduates, and 1016 international students from less one hundred countries and regions.

科研需求分析

- **There are some findings in the statistics of journal paper publication by SHUFE teams during 2007-2012.**
- First, economic and management studies held by the faculty teams show very strong fronteering characters, more documentations are referred in their publications.
- Second, papers by doctoral students refer more frontier documentations in their studies. **(1)** Total numbers of documentations referred by the authors increase all the way, and in which English documentations extends in scale. **(2)** Fewer books are referred by the dissertations, but more referred books are published nearer in years of the dissertation writing. **(3)** More working papers, reports and PhD dissertations are referred.
- Thirdly, new trend in the use of the Library found. **(1)** Constructions of digital databases have made faculties and graduate students more freely using the Library collections both in campus and at home. **(2)** The academic-led transformation for the Library is needed indeed.

读者在馆行为也在改变

- The higher the faculties experienced overseas studies and scholarly visits, the higher the demand for foreign documentation. Both the changing attitudes demands higher quality databases in the Library. **上财加大了海归的引进力度，拥有博士学位的读者不断增加，海归教授读者不断快速增加，对于外文出版物/数据库的需求不断加大。**
- For the undergraduate students and master's students, statistics shows the transformation of SHUFE to a research university need teaching faculties designate bibliographies, improve examinations and assignments after class. **因为服务教学的需要，海归教授们要求图书馆提供相应的馆藏。**
 - This leads to a need of library transformation from a teaching-research to that of research.
- **可见，转型战略的提出，直接导致教师队伍结构变化、师生的研究和文献阅读需求变化，引领着教学型图书馆向研究型转变。**



THREE Books collection: A supply-side analysis

三、上财馆馆藏（供给）分析



Collection Analysis 馆藏结构

□ Total: 2.01 million copies

- Paper documents: 1.55 millions copies
- Electronic books: 467000 pieces
- Chinese electronic serial journals: 8000 serials
- Foreign electronic serial journals: 17000 serials
- ...

Structure of collections: The CLC System 馆藏结构：基于中图法

Classification		No. of species	Classification		No. of species
Social sciences books	A	2387	Non-Social sciences books	N	1812
	B	18310		O	8370
	C	16303		P	1845
	D	41961		Q	1785
	E	1910		R	3437
	F	123994		S	1064
	G	17428		T	18244
	H	33980		U	792
	I	36972		V	154
	J	7458		W	134
	K	27971		X	2472
	M	2		Y	2
	-	-		Z	3500
Total species		328676	Total species		43611
%		84.34	%		15.55

Source: <http://202.121.135.4:8080/opac/>, 2012-08-27~2012-09-05

The biggest collections comes from **Economy (F)**, the searchable species number 123 994, which is 37.73% of all social science books.

抓典型的思想告诉我们，F类馆藏是分析重点。

Eg: Collection F, F2, F8 & F7 (F0、F2、F8和F7的馆藏结构)

Sub-class no.	No. of species	Sub-class no.	No. of species
F0	10204	F6	513
F1	11645	F7	18769
F2	47359	F8	22798
F3	3711	F9	10
F4	6206	-	-
F5	2779	Total of Class F books	123994

Sub-sub class no.	No. of species	Sub-sub class no.	No. of species	Sub-sub class no.	No. of species	Sub-sub class no.	No. of species
F20	618	F25	1858	F81	4471	F71	11595
F21	98	F26	42	F82	1431	F72	1488
F22	2208	F27	26895	F83	15309	F73	341
F23	10850	F28	437	F84	1637	F74	3274
F24	1785	F29	3205	-	-	F75	1310
-	-	-	-	-	-	F76	938
Total F2	47359			Total F8	22798	Total F7	18769

Source: <http://202.121.135.4:8080/opac/>, 2012-08-27~2012-09-05

可见，当前F0、F2、F8和F7馆藏是大头

Third-subclass collections of Economy disciplines 经济学馆藏

第三级类目结构分析

Table VII SHUFE Library books collection structure: F27

Sub-class no.	No. of species	Sub-class no.	No. of species
F270	6249	F275	2991
F271	451	F276	3048
F272	4968	F277	3
F273	2172	F278	0
F274	1542	F279	5674
Total of F27		26895	

Table VIII SHUFE Library books collection structure: F83

Sub-class no.	No. of species	Sub-class no.	No. of species
F830	8757	F835	206
F831	1751	F836	87
F832	3663	F837	687
F833	219	F838	0
F834	25	F839	1
Total of F83		15309	

Table IX SHUFE Library books collection structure: F71

Sub-class no.	No. of species	Sub-class no.	No. of species
F710	192	F715	1174
F711	17	F716	107
F712	79	F717	478
F713	7567	F718	279
F714	115	F719	1587
Total of F71		11595	

馆藏图书学科结构失衡

Source: <http://202.121.135.4:8080/opac/>, 2012-08-27~2012-09-05

Gap between categories of books the University disciplines **上财纸本图书之馆藏与学科发展的差异**

❑ **F2>F8>F7>F0 (collections in size order)**

- F0: Economics
- F7: Trade Economy
- F2: Economic Plan and Management
- F8: Public Finance and Finance
- However, the Economics program is much stronger than the Economic Plan and Management program in the University. The scale of F2 collection is bigger than necessary.

❑ **F27>F83>F71>F23>F0 (collections in size order)**

- F27: Firm economy
- F83: Finance and Banking
- F23: Accounting
- F71: Domestic Trade Economy
- The unbalance of books collection with discipline advancement comes from an **overload of F27 collections**.
- Actually current key programs and academic keys of the University strategic plans are Theoretical Economics, Public Finance and Accounting (F23).
- ❑ Comparing the actual development of academic programs in SHUFE with library collections, **a sequence of F83>F23>F0>F27>F71 seems more optimal and reasonable.**
- *The collection building should be only to collect books of higher utility for academics; any unbalance of the two should be readjusted by both collection building and collection weeding.*

F2, F8, F7 collection in different years **F2、F8和F7类纸本馆藏的年代分布之不均（缺藏）**

	F0	F2	F8	F7
Before 1979	3.28%	0.99%	1.46%	0.82%
1979 - 1999	32.95%	24.92%	25.92%	28.68%
After 1999	63.77%	74.09%	72.63%	70.50%

- ❑ **The unbalanced structure in collections up-built “Before 1979” is in high shortage rate.**
- A research university library needs collections go deeper. The shorted books should be supplied as one of the must conditions in the transformation strategy.
- ❑ **可见，图书缺藏多，馆藏深度不够，馆藏图书学科结构失衡，与学术图书馆定位差距大。**

本校特色资源的缺藏问题

附表六 上海财经大学图书馆本校知名教授馆藏比较

姓名	上海财经大学图书馆		复旦大学图书馆		上海图书馆		深圳文献港		超星电子书		ishare	
	种数	年代	种数	年代	种数	年代	种数	年代	种数	年代	种数	年代
杨杏佛	1 (主题词)		3	1927-1937	5	1927-1931	2				6	
郭秉文	1 (责任者)、1 (主题词)		2	1922-2007	10	1915-2007	4	1916-2007			1	
马寅初	24	1925-2010	46	1923-2010	73	1923-2007	65	1923-2010			63	
孙冶方	15		20	1937-2010	27	1937-2010	29	1935-2010			4	
姚耐	0		7	1953-1963	7	1953-1963	2	1953-1959			0	
褚凤仪	0		8	1934-1957	13	1934-1952	17	1934-1950	1	1934	0	
褚葆一	6	1981-2001	15	1946-2001	13	1946-2001	14	1945-2001	6	1947-1989	2	
李炳煊	0		5	1936-1947	3	1936-1946	4	1936-1946	3	1936-1946	0	
李鸿寿	5	1951-1989	4	1938-1983	14	1934-1985	14	1937-1989	0		0	
孙怀仁	1	1991	15	1935-1990	20	1933-1994	22	1931-1990	8	1935-1956	0	
吴承禧	0		6	1935-1955	10	1934-1956	7	1934-1956	5	1951-1956	1	
王惟中	2	1983-1990	5	1959-1990	4	1956-1990	3	1959-1990	0		0	
杨荫溥	6	1930-1985	24	1930-2009	22	1930-2009	27	1920-1991	8	1935-1985	3	
龚清浩	2	1982-1991	2	1982-1991	2	1982-1991	2	1982-1991	0		0	

许本怡	1	1944	0		0		1	1944	0		0	
周伯棣	4	1934-1984	20	1934-1984	21	1934-1984	18	1982-1991	7	1934-1951	1	
邹依仁	9	1951-1988	13	1951-1988	18	1951-1988	19	1951-1988	6	1951-1985	0	
薛仲三	1	1978	10	1940-1978	7	1940-1978	7	1950-1984	7	1950-1956	0	
周有光	19	1979-2011	58	1949-2012	56	1949-2011	60	1949-2011	7	1949-1980	87	
尹文敬	0		10	1936-1991	8	1935-1991	12	1935-1991	3	1936-1953	0	
刘絮敖	3	2001-2010	12	1930-2010	3	2001-2010	20	1931-1989	0		0	
彭信威	3	1954-2007	7	1930-2007	8	1930-2007	8	1954-2007	4	1930-1958	5	
胡奇窗	14	1962-1998	17	1946-1998	15	1962-1998	17	1962-1998	0		4	
娄尔行	21	1951-2002	13	1982-1994	17	1951-2002	26	1951-2002	1	1951	0	

资料来源：上海财经大学图书馆、网上检索，2012-04-16.

可见，建设研究型大学的战略之下，上财图书馆有价值图书缺藏明显多，现有的馆藏深度不够，馆藏图书学科结构失衡，与学术图书馆定位差距大。

My Remarks to... 馆藏评论

- 长期以来，上财馆馆藏基本上与学科建设同步，然而结构上的失调需重视。
- 馆藏建设应着眼于支撑与强化大学的相关学科发展，馆藏应实现重点学科馆藏的全面性、最优规模和学科内部的比例结构。
- 馆藏的分支学科图书应当体现互补性，馆藏发展考虑到电子资源大量涌现的现实。
- 馆藏必须考虑新学科的成长与既有学科的萎缩问题，及时调整相应的图书结构。
- 当然，这些都是有原因的…

FOUR Dynamic collections fine-tune

四、馆藏的动态调整（实现供求均衡）



1. Collection shortage 缺藏问题

- Books collection shortage prevails in China's university libraries. It is found that while the collection shortage is made by unqualified social screening and assessment system, lack of quality subscription booklists, existence of simple and unprofessional acquisition modes, both have made books shorted in libraries.
- It is easy to find collection shortage by both method of comparing collections with catalogues, and by method of typical books survey.
- ❑ **需要访书、定制印刷...，制定特殊政策。**

2. Book ageing and weeding 剔旧问题

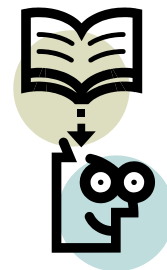
- Books ageing and collection weeding are old problems in the library business.
- Multiple ways should be made simultaneously.
 - ✓ making plan for collection, collaborative collection buildings, documentation delivery development, and promotion to collect valuable and quality books.
- Should plan and construct united or cooperative repository in Shanghai or in the Yangtze Delta area.
- **胀库问题的解决，建立联合书库的可能性和瓶颈。**

3. Special collection building **特色馆藏建设**

- Generally, for a university transformation, the library is needed to build up special collections as foundation to underpin special disciplines advancement.
- ▣ **在各类出版物大量涌现和电子出版物成为主要馆藏方式的情况下，特色馆藏建设应当成为不同类型学术图书馆资源建设的选择。**



FIVE Discussion 结论与探讨



□ Findings 研究发现

➤ It was found that books collection development in a research library should abide by the university's academic discipline development strategy, and firstly to assess the current collections with principles of developing special collection, database construction, and **taking books' utilities** instead of collecting for collection's sake **as basic principles to build library collection.**

- 图书馆必须紧跟大学转型战略。
- 重视建设特色馆藏。
- 以读者需求为导向，重视新的供给因素。
- ...

建议一：研究馆藏评价原则

- **主要考虑特藏、电子资源和学术引领问题。**
- ✓ *Special collections* should be strengthened by the advancement of discipline development
- ✓ In the IT Revolution, university libraries must emphasize both physical resource development and **electronic collections**.
- ✓ The standard of collection assessment from collection for collection's sake to that of for **academic lead** should be realized.

建议二：构建馆藏评价体系与机制

- ✓ *assessment organization setup*
- ✓ *policy executing*
- ✓ *disposition of the assessment results*

建议三：协调纸本馆藏与数字馆藏发展

➤ *For digital files, the building should abide by the principle of documentation's utility, while paper resource building stressing special documentations, key documentations and shorted documentations.*

□ **数字资源以使用为标准，纸本资源重视特藏。**

很高兴与大家共 同研讨...

