

**ASSOCIATION OF AFRICAN UNIVERSITIES**

**FINANCING OF UNIVERSITY LIBRARIES IN ZAMBIA**

**BY**

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**Research Paper**

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## ABSTRACT

Examined the funding situation and the impact that levels of funding to University of Zambia (UNZA) Library and Copperbelt University (CBU) Library have had on the provision of library and information services. Data was collected on the (i) budgeting process; (ii) factors determining proportion for Libraries, (iii) trend in funding University Libraries, 1980-2000, (iv) other sources of library funding, (v) effects of the funding situation on library and information services. Sample included university administrators, lecturers and librarians. Used interviews, questionnaires, and literature survey for data collection.

Revealed that government funds 90% of both Universities' budget and specifies the budgetary process followed by the two institutions. Government releases grants to Universities on a monthly basis in line with the cash budget policy. Librarians formulate budget estimates for information resources. Lecturers participate at budget implementation stage by providing reading lists. Factors determining the budget proportion to Libraries include: reduced government funding; accounting policy by Bursar's office; lack of budget implementation strategy; lack of appreciation of library and information services by administrators; and scholarly nature of administrators. Funding proportion to Libraries averaged 2.5% in the 1980s when both Libraries were under a federal system, 3% for CBU Library in the 90s and 0% for UNZA Library since 1993. Lack of funding affected acquisition of current information sources; provision of intended library and information services; user confidence in Libraries; infrastructure and seating capacity; and the quality of learning, teaching and research. In addition to government grants, universities get funding from tuition fees, internally generated income and support from co-operating partners. Established that the majority of students are government sponsored. Government remits tuition fees in instalments and owes UNZA K9 billion and CBU K3 billion in tuition fees arrears. CBU allocates 5% of tuition fees for information resources. UNZA has no policy on distribution of tuition fees and no portion is set aside for information resources. Internally generated income is used as recurrent expenditure and no portion is set aside for information resources in both Universities. Libraries use self-generated income on operational requirements. Both Libraries have benefited from external financial support in form of automation and information resources.

Recommend that Government should release the grant for Universities at once or in two six months installments to assist the institutions better plan their activities. University administration should communicate and distribute the grant proportional to the budget requests from the various Units. Accounting policy that classifies information resources as capital items should be changed. Libraries should involve lecturers at budget formulation stage so that estimates are based on expressed needs. University of Zambia Council and administration should adopt a policy that specifies a percentage of tuition fees for acquisition of information resources. Both University Councils should formulate policies that compel administration to fund information resources from any institutional income. Vice-chancellors should seek support from development agencies for institutional programs and that support should be well managed. Both Universities should lobby government to include support to universities in the bilateral agreements. All projects designed in the universities should include a component on information resources. Librarians should actively be involved in soliciting for external support through project developments. Both Universities should provide initial capital to enable Libraries turn ventures like bindery and printing services into profit making.

## FINANCING UNIVERSITY LIBRARIES IN ZAMBIA

### BACKGROUND

University education in Zambia is a post independence creation. Like other post-colonial governments, the Zambian government recognise/d the importance of and need to invest in higher education. The University of Zambia was, therefore, established in 1966 to train high level human resources to meet the challenges society is facing. In 1987, the government established the Copperbelt University to meet the demands of a growing population. There are no private universities despite provisions in the university act on the establishment of such.

The University of Zambia offers various undergraduate programmes through its nine (9) schools namely, School of Education (8 Departments); School of Law; School of Natural Sciences (5 Departments); School of Engineering (5 Departments); School of Mines (3 Departments); School of Agricultural Sciences (5 Departments); School of Veterinary Medicine (4 Departments); and the School of Medicine (10 Departments) at Ridgeway campus. Postgraduate programmes offered by various schools are co-ordinated by the Directorate of Research and Graduate Studies. The Directorate of Distance Education co-ordinates the distance learning courses offered by the Schools of Education, Humanities and Social Sciences and Natural Sciences. The Institute of Economic and Social Research is a full time multidisciplinary research unit of the University of Zambia.

The Copperbelt University offers undergraduate programmes and one masters (MBA) programme through its five schools namely, School of Business (4 Departments), School of Built Environment (2 Departments), School of Technology (4 Departments), and School of Forestry and Wood Science. The Institute of Consultancy, Applied Research and Extension Studies (ICARES) was established to co-ordinate consultancy and research activities of the University.

University education is on high demand, but the capacity of the two Universities to admit students is constrained by limited infrastructure. The student enrolment at University of Zambia is about 6000 (undergraduates, postgraduates and distance education). In 1999/2000 academic year the University of Zambia Senate decided to over-enrol above the average figure of 1200 regular students. On top of the 1200, the University admitted 660 self-sponsored students. These extra students paid tuition fees directly to the admitting Schools. The academic staff population at University of Zambia is 516. The Copperbelt University student and academic staff population is approximately 1800 and 300, respectively.

Government has been responsible for financing university education since inception. However, like many African countries, the government has not been able to continue with the level of investment in university education that it began with in early years. There are a number of reasons that negatively affected levels of public expenditure on education in Zambia. The most prominent are general economic recession, growing populations exerting new and expanded demands on the government, debt burden and structural adjustment programs that led government to introduce policy shifts in all social sectors.

Recently, government introduced adjustments in educational financing in a policy that puts emphasis on cost sharing. The National Policy on Education (1996: 105) states that “*the financing of higher education will be on a shared basis between the government, the institutions themselves, and students*”.

Students contribute 25 per cent towards their tuition fee while government pays 75 per cent. Institutions are supposed to meet the bulk of their operational budget from sources other than government whose responsibility should be to finance emoluments, research, staff development, capital developments and libraries (GRZ White Paper, 1998).

Universities have as a consequence instituted measures to manage the budget deficits caused by decreases in government budget allocations. The measures include reducing expenditure on activities where political reaction was most manageable, for instance, from non-salary categories of the recurrent education budget, in particular from expenditures on educational materials and equipment maintenance (Kitaev, 1992).

Library and information services are often among the activities targeted for budget cuts. This is because, library and information services have mistakenly been seen as an optional extra when it comes to investing in higher education (ILIAD, 1995).

## **Study Context and Problem**

Library and information services have been recognised as having an important role to play in higher education. Libraries in academic institutions for a long time have been responsible for providing information materials for purposes of learning, teaching and research. This role of the library is being threatened by inadequate funding for purchase of new books and subscription to journals and other information sources. This role is also being challenged by the developments in the field of information technology (IT). The developments in IT make it possible for information about documents as well as full text (documents) to be stored and accessed online from any computer in the world connected to the net. Individuals are able to access a wider choice of information bases available within a short period of time.

Provision of access to both physical and online information sources for study, teaching and research require a substantial and sustained investment by universities. The financial position of most universities in developing countries, and Zambia in particular has been weakening over the years. For instance, in 1994 the government grant constituted 95 per cent of the University of Zambia's estimated expenditure but in 2001 the government grant was reduced to about 38 per cent of UNZA's estimated expenditure.

In the light of government budget cuts, universities' financial adjustments have targeted the so called 'none political sensitive areas' like library and information services. Libraries, like other departments, prepare annual budget estimates that are incorporated into the university budget submitted to government. But for years, Libraries have not received their share at the time of budget implementation, as they are not a political priority.

It is against this brief background that this study attempts to provide an explanation of the nature of and problems relating to financing of University Libraries in Zambia.

## **The Objectives**

The general objective of the study was to investigate the funding situation and the impact that levels of funding to university libraries had on the provision of the intended library and information services.

The specific objectives were to:

- explore the nature of university libraries budgeting process
- identify factors that determine the proportion of funding for library and information services
- examine the trend in funding university libraries from 1980 to 1999

- examine the effects of the funding situation on the ability to provide the intended library and information services.

## **Research design**

The study was based on the two university libraries, the University of Zambia Library and the Copperbelt University Library. To collect data on the position of library funding and its effects on provision of services, both qualitative and quantitative data collection methods were used. Data was collected through the instruments of interviews, questionnaires, and analysis of budgets and other official documents. The sample included University administrators (officials in Bursar's, Registrar's and Vice-chancellor's offices) and University Librarians (heads of the library system). In addition, library staff and lecturers who are heads of departments were included in their capacity as budget holders.

Data collected through the various techniques discussed earlier were analyzed and consolidated for presentation of information on funding trends and acquisition in tables and Microsoft Excel spreadsheets. Qualitative data was coded into categories (themes), which was then contextualised while quantitative data was presented using Microsoft Excel spreadsheets. Information analysis and consolidation method was used on data from documented sources.

This study, which was conducted between March 2000 and May 2001, was funded by a grant from the Association of African Universities (AAU) as part of its '**Study Program on Higher Education Management in Africa**'.

## **RESEARCH FINDINGS**

### **Introduction**

The University of Zambia (UNZA) and Copperbelt University (CBU) are public institutions supported by public revenue and are classified as grant-aided institutions (partly maintained/financed by government) with semi-autonomous status. Both Universities get their revenue through three main sources: government grants, income generation ventures and external financial sources.

For both Universities, however, only the expenditure facilitated by release of government grant is subject to budgetary procedures via the Ministry of Education. To receive their grants, the Universities prepare and submit their annual budgets to the government.

### **Budgeting and Budgetary Process in two Universities**

The budget preparation process for the universities is determined by Government through the Ministry of Finance and Economic Development which co-ordinates the preparation of the national budget. The Ministry of Finance and Economic Development sends guidelines by May of each year to all ministries giving instructions on how the budget figures should be arrived at.

Prior to 1994 the budget preparation process was based on the incremental budgeting approach (method). This approach involved building up budget estimates based on previous estimates and increasing the figure by a certain percentage after taking into consideration inflationary rates.

However since 1994, following the budget reforms by central government, the budget preparation approach has changed from incremental to activity-based budgeting (ABB). The new approach entails building up annual budget estimates based on programmes. using the Activity-Based Budgeting (ABB) method. This is done to ensure that budget figures are built up from properly costed activities.

Upon receiving the budget guidelines, the Vice-chancellor sends instructions to all units through the Bursar’s office requesting each unit/department in the university to prepare departmental budget estimates for the forthcoming year using the criteria from government.

Individual units in the university prepare and submit budget estimates to the Bursar’s Office. The Bursar’s office collates and consolidates the budget reports from Schools, Library, Institutes and other departments. The consolidated budget report is submitted to the Finance Committee of Council. The Finance Committee makes its recommendations to the University Council. The Council considers and approves the draft budget for presentation to the Ministry of Education. The budget preparation process is illustrated in Figure 1.

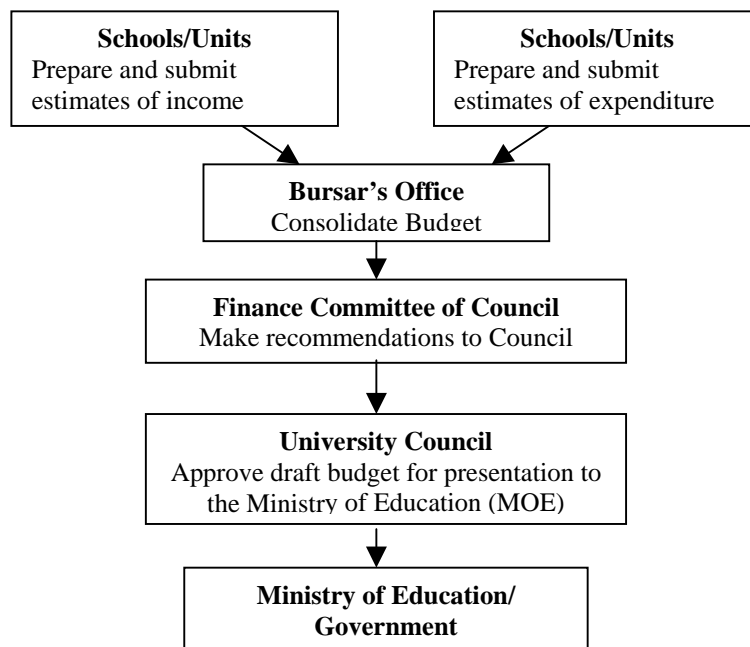


Figure 1. Budgetary Process in the two Universities

### University Libraries Budget Preparation Process

The Library Budget Committee composed of heads of departments and branch libraries prepares the budget for University of Zambia Library. At the Copperbelt University (CBU) Library, the Assistant Registrar (Library) collects information from all the sections of the Library on budgetary requisites. Together with the Librarian and the Deputy Librarian, the Assistant Registrar works out and finalises the Copperbelt University Library budget estimates.

The Library’s budget estimates usually cover emoluments, general expenditure, and library and information resources. The focus of this section is on the preparation of budget estimates for library and information resources. Library and information resources refer to the printed documents, audio-visual materials, CD-ROM databases and computers used in information management.

Estimates for library and information resources are included as part of the library budget estimates. Librarians draw up the estimates for library and information resources. The lecturers at both Universities are involved at budget implementation stage. At the University of Zambia, lecturers are requested to submit lists of titles of books and other reading materials relevant to their programmes for purchase to the Library. Whilst at the Copperbelt University, lecturers' participation is through the Collection Development Committee, which is composed of representatives from each School. The Committee is responsible for making decisions on the distribution of the allocation for library and information resources.

However, lecturers' participation in the budget process is varied with 78% indicating intervention at budget formulation and 22% at budget implementation stage. The participation ranges from interventions at school/departmental level to direct linkages with the Library. For instance, in addition to submitting lists to the library, some Schools/departments also include a component of reading materials in their departmental/school budget estimates. However, funding for this provision is never released to the Schools. Lecturers observed that the estimates made are simply an annual ritual of no consequence to funding. It was observed that at UNZA, Schools had not received any allocation from central administration as far back as 1995.

Lecturers at UNZA felt that central administration does not provide the funding for acquisition of information resources even if they came up with recommendations. It was observed that *"there is no consultation in the University of Zambia and no organized system to talk about, things are carried out when need arises"*.

Some lecturers from both Universities (60%) felt that Schools should actively participate in the budget preparation for reading materials and suggested that the procedure should start with academic staff who then should submit their recommended titles to the School. The school in turn should submit the consolidated list to the Library. A Library Committee composed of representatives from Schools should consider the consolidated requests, and also be responsible for distribution when the allocation for reading materials has been released.

## **Budget Implementation in the Universities**

A budget is a managerial tool used in any organization to plan its income and expenditure in any one given period. However, budgeting in the two Universities has become a ritual and routine activity. The change in the budgeting approach from incremental to activity-based budgeting method has not improved the funding situation of both Universities, let alone the Libraries. The government allocates annual grants to the two Universities and the grants are released in monthly instalments in line with the cash budget policy introduced in 1993. The cash budget system entails that no expenditure would be made until the revenue were collected and made available.

The fragmented grants disbursed on a monthly basis make it difficult for the institutions to implement and efficiently run the planned programmes and services. The grants released to the Universities cover both staff emoluments and general expenditure.

### *Staff Emoluments*

In both Universities the estimates of staff emoluments are directly managed by central administration. Units in the university, including the Library provide information on the establishment and may include projected figures for the coming year's (future) staff requirements.

### *General Expenditure*

This covers operational costs such as fuel, travel, stationery, protective clothing, and many others. Respondents from the Bursar's office at both universities indicated that the monthly grant released by Government includes both emoluments and general expenditure.

Librarians and lecturers observed that most of the time there is no allocation from central administration to the Libraries or indeed other academic units for general expenditure. In such instances, libraries and academic units have to fend for themselves. When and if released, the general expenditure allocation in addition to being irregular is quite minimal. For example, the University of Zambia Library was given a maximum of nine million Kwacha (K9, 000,000) in three instalments in 1999. The funds were spent mostly on transporting members of staff to their homes after evening duty (10 PM).

It was observed that the central administrations at both Universities do not communicate information about receipt of the grant. There are neither criteria nor formula for distributing the grant once received. Lecturers observed that there was no linkage between budgeting and allocation of funding in the universities. The Bursar's office at both Universities revealed that they base the fund disbursement on areas needing urgent attention. In this respect, the Bursar's office at UNZA indicated that the administration perceives the grant as fund to be "*used on the well being of the institution and decides to spend it on common facilities as priority*".

At CBU, it was observed that the administration does not distribute the grant in a transparent manner. One Dean observed, "*after receiving the grant, the university administration decides on how to use the money. Deans and other heads of units are called to a meeting to 'rubber stamp' what the administration has already decided upon*".

### *Capital funding*

Capital funding may be released upon application by the Ministry to the Treasury. Release of capital funds depends on the availability of revenues and in most cases priority is given to contractual agreements and counterpart funding commitments. The two Universities have not received capital funding since 1995.

### *Fund allocation to the Libraries*

University of Zambia Library has not received funding for acquisition of library and information resources for more than eight years. Central administration at UNZA does not release any funds for acquisition of library and information resources as they are classified under capital expenditure. In addition, the administration maintains that the grant is never enough.

The situation is different from that of the Copperbelt University Library. The CBU administration may not be in a position to allocate the Library funds from the grant but do so from other sources as shown in the section under tuition fees.

Libraries have no direct control over staff emoluments. Given such a scenario, the two Libraries have no free way in directing resources where they are needed most. For instance, if Libraries had control of staff emoluments, they would choose between employing a new staff and purchasing information resources. However, the money for staff emoluments may not even reach the Universities because Government releases the grants on the basis of the filled in establishment and not on the basis of the approved establishment.

## **Tuition Fees**

Both Universities receive tuition fees from government and private sponsored students. The majority of the students are government sponsored. In connection with the policy of cost sharing, students are supposed to pay 25 per cent towards their tuition. According to the officers in the Bursar's office, a number of students were not able to pay their share all at once and instead pay in instalments. As a result a number of students owe the University of Zambia K183,000,000 in tuition arrears.

On the other hand, government does not remit the 75 percent tuition fees for government sponsored students on time and releases tuition fees in irregular instalments. The government, as of 2000 owed the University of Zambia about K9 billion and Copperbelt University K3 billion in tuition arrears.

Both Universities have no formula for distributing tuition fees among stakeholders. The only exception is the 5 percent share of tuition fees approved by CBU Council allocated to the Library. About 60% lecturers from both Universities, indicated that teaching units receive a portion of tuition fees. Nevertheless the disbursement of the tuition is irregular and not proportionate to the number of students in the respective schools. It was also observed that there was poor communication regarding receipt of tuition fees (from government) by central administration.

Beginning in 2000/2001 academic year, UNZA Senate decided to increase admission of first year students through a 'liberalized admission policy'. Teaching staff demanded that the extra number of students enrolled pay directly to Schools and a substantial amount was collected through this arrangement. The direct collection of fees by admitting Schools is as a result of mistrust in central administration's management and distribution of tuition fees.

At CBU academic staff stated that efforts were being made to get private sponsored students pay directly to Schools.

### *Tuition fees allocation to the Libraries*

The study established that CBU Library receives 5% portion of the tuition fees from central administration when Government has released the funds. The CBU Council decided in 1998 that five (5%) percent of the total tuition fees paid by students should go to the Library for purchase of information resources. In 2000, the CBU Council revised the figure to twelve (12%) percent of the tuition fees, to be used for acquisition of library and information resources.

At the Copperbelt University, once the allocation for library and information resources has been released, the Collection Development Committee holds meetings to decide the distribution of the allocation in terms of book purchases and periodical subscriptions. The distribution is carried out after a certain portion has been removed from the overall tuition fees allocated to the Library. The Librarian at CBU indicated that if there were no tuition funds released from government then Library would not be in a position to acquire information resources.

The University of Zambia Library has not been receiving any portion of tuition fees. However, in 2000 an adhoc Committee of Senate chaired by UNZA Librarian was tasked to come up with recommendations on the distribution of tuition fees collected by Schools on the 'liberalized places'. The Committee recommended that 7.5 per cent of funds collected directly by Schools should be paid to the Library to purchase current information resources and 2.5 per cent be paid to the Computer Center for information technology support. Schools, in accordance with

the Senate decision released the 7.5 percent to the Library for information resources. In addition, a proposal has been made by the Senate Library Committee to extend the policy of apportionment to tuition fees paid by all students and not only the 'liberalized places'.

### Internal Generated Income

Faced with inadequate funding from central government, the universities have started various fundraising ventures (Bobby Bwalya Commission, 1998). UNZA has been running projects like the York Farm Limited, Liempe Farm, Marshland Guest Houses, Bookshop/Mini Mart, UNZA Press, Horticultural Nursery, and ZAMNET Communications System Limited with the aim of raising funds.

Table 1 shows the amount realised by UNZA during the years 1993 to 1997. In 1993 UNZA was able to raise K122, 919million, 110million in 1994 and K69, 662million in 1995 from these business ventures (UNZA Annual Report, 1994, 1995). It was not possible to collect data on the money raised in the years after 1997 due to lack of access to financial records. Since the 1996 audited statements none have been prepared and availed to date to auditors and other stakeholders.

Table 1: Internal Generated Income, University of Zambia.

YEARS	INTERNAL GENERATED INCOME
1993	122,919,000
1994	4,110,000
1995	69,662,000
1996	194,522,000
1997	177,511,000

Source: UNZA submission to Parliamentary Committee on Education, Science and Technology, 1999

Both University Libraries were involved in income generation as far back as the 1980s and the small amounts of money were collected mainly from photocopying, binding and overdue fines. Like other units in the Universities, Libraries deposited self-generated income into a central account controlled by the university administration. It was very difficult and in most cases departments were told they could not get the money because there were no funds in the account.

Financial management of self-generated income in the University of Zambia has been decentralized. Devolution of financial management was introduced in 1995/96 as an experimental exercise with a number of departments opening their own bank accounts which they manage independent of central administration. Currently, almost all departments are managing their own departmental bank accounts. With financial devolution, financial officers from the Bursar's department are deployed in Schools and other units to assist with financial management.

University of Zambia Library income generation ventures have expanded and include photocopying and duplication, bookbinding, identity card production, membership fees, consultancy and overdue fines. Table 2 shows the income generated by the Library from 1997 to 2000. The Library raised K7, 242,020 in 1999 and K47, 291,858 in 2000. The Library realized higher income in 2000 when charging for ID production was introduced for both

students and members of staff. The Library also extended the ID production service to institutions outside the University from whom substantial amounts were collected.

The Library at UNZA started income generation without any business plan. Income generation was embarked upon as a way of filling-in the gap left by inadequate or no funding at all from central administration even for operational costs.

Table 2: Income generated by UNZA Library, in Zambian Kwacha

ACTIVITY	YEARS			
	1997	1998	1999	2000
Binding	1,943,800	4,712,100	2,461,100	3,714,900
Photocopying & Duplication	*	381,700	1,603,760	1,600,000
Membership	*	*	1,750,000	1,000,000
Overdue Fines	*	*	1,285,960	1,192,000
Reference	*	*	141,200	540,000
ID Cards	-	-	-	34,771,000

Source: UNZA Library Annual Reports and other records

\* Data not available

- Activity did not take place

The Copperbelt University established the Institute of Consultancy, Applied Research and Extension Studies to co-ordinate consultancy activities. Business ventures managed by CBU include a Guesthouse and Plant Nursery (Bobby Bwalya Commission, 1998). Income generation was encouraged in a circular from the Registrar's office in 1997 to all departments to consider income generation activities with a view of supplementing departmental budgets (Lungu, 2001).

At Copperbelt University, although devolution of financial management has not been introduced, a few units like the Library have opened bank accounts which they control independent of the central administration.

Copperbelt University Library generates its internal revenue from ventures such as photocopying, binding and printing services. Revenue generated internally is used as running costs since no funds are forthcoming from central administration. Table 3 shows the income generation activities and amount of money realised by the Library from 1997 to 1999.

Table 3: Income Generated by CBU Library, 1998-1999 in Zambian Kwacha

ACTIVITY	YEARS		
	1997	1998	1999
Binding	K1,751,650	K3,156,050	3,325,200
Photocopying	K950,000	K1,775,525	2,244,000
Printing	K2,059,676	K1,581,975	1,104,150

Source: C.B.M. Lungu, 2001

The Copperbelt University Library developed a business plan following the Registrar's communication encouraging income generation. In addition, a Library Income Advisory Committee was established in 1999 to co-ordinate fundraising as well as to sanction or authorise expenditure of the generated income. The Library Income Advisory Committee then developed guidelines that would guide the expenditure of the internally generated revenue. The Library lacks capital to develop the planned fundraising ventures.

Despite the small successes of the institutional ventures, there is no indication that Libraries have been allocated funds from the internal generated income. For instance the Bursar at the Copperbelt University explained that these internally generated funds were too little to be shared among the units. The funds go to meet operational costs of the Universities.

### **External Financial Support**

There are two modes of accessing financial assistance or aid. It can either be through technical bilateral agreements (i.e., from government to government) or institutions actively soliciting for funds by writing grant proposals to support various programmes such as library automation. These funds are specifically targeted towards the proposed programmes as indicated in the grant proposal or the technical agreements.

Lecturers and administrators interviewed at Copperbelt University felt that University of Zambia was overshadowing their institution in accessing support from co-operating partners. They attributed this to the location of the institution, outside the capital city where the co-operating partners are based and also on the mistaken belief that Copperbelt University is still an integral part of University of Zambia.

Copperbelt University Library does, once in a while, access donor funding either through direct solicitation or as part of bilateral technical agreements. So far donor assistance has been in form of book purchase and periodical subscriptions, book donations and grants for computerisation of the Library operations. In addition to Library automation, donor assistance solicited for by the Library has also gone to the development of a Campus Wide Area Network.

In both Universities, individual units initiate the process of seeking donor assistance or financial aid. The central administration is involved once the process has been concluded and need to formalise the agreement or transaction.

External support to University of Zambia covered project development and budget support. Under project development various donors funded specific projects such as; DFID support to the School of Medicine, JICA to the School of Veterinary Medicine, Belgian Aid to School of Agriculture, NUFFIC to School of Engineering, Dutch Aid for initial Campus Wide Area Network and recently VLIR support for IT development within the University.

University of Zambia Library has previously benefited from external support in terms of equipment and book donations and journal subscriptions. Book donations have been received from Book Aid International, Inter-Campus Book Link and SIDA/SAREC, Journals subscriptions on behalf of the library by AAAS, SIDA/SAREC, AJDP and CITIBANK.

During 1994/96 SIDA gave funding to UNZA for a number of activities, including funds for journal subscription. Parts of the funds for journal subscription were not released for the year 1996. Mismanagement of funds at UNZA riled the donors and cost the University. Some donors withdrew their support to the University while others did not renew their contracts.

Both Libraries have benefited from FINNIDA technical support by providing initial investment in hardware, software and staff training for library automation. FINNIDA also supported the purchase of books for the libraries and as well as textbooks for students during the project period (1994-1999). FINNIDA support ended with the project's end in 1999.

## TRENDS IN FUNDING UNIVERSITY LIBRARIES

The main idea behind compiling data on funding trends is to find out whether funding to institutions correlates to library funding, and whether government funding was proportional to library funding.

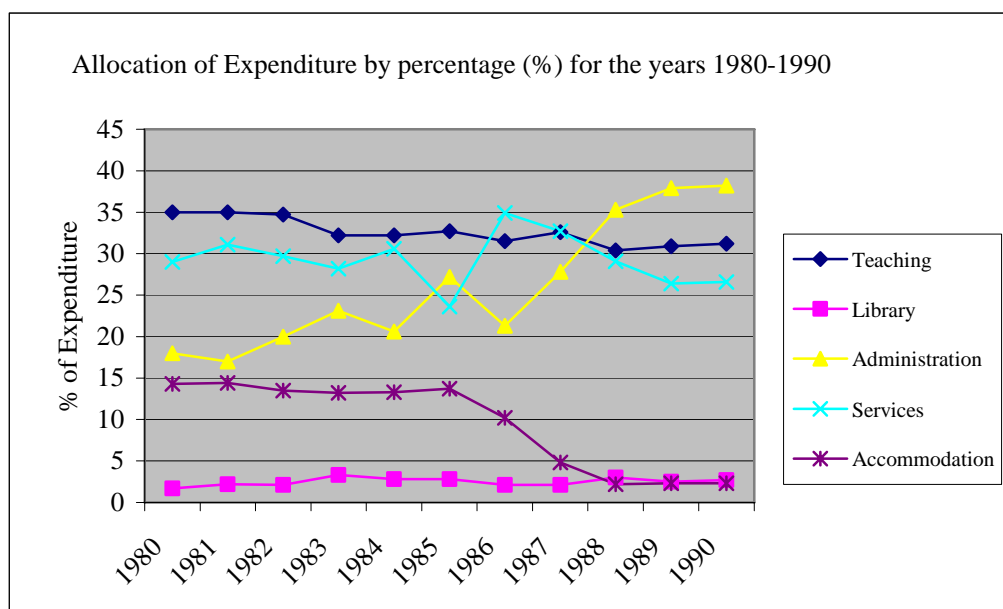


Figure 2: Allocations of Expenditure by percentage (%) for the Years 1980-1990

The trend in financing University Libraries is outlined in figure 2 covering the period from 1980 to 1990. The figures indicated cover part of the period when both Libraries were under a federal university structure (1979-1987). The Library allocations were the lowest averaging 2.5 percent while allocation to administrative units increased from 18 per cent in 1980 to 38.2 per cent in 1990 (Kelly, 1991; Galabwa, 1993).

In the 1990's the funding situation continued to impact negatively on the provision of library and information services. The situation actually became worse in that as from 1992/93 no allocation was released for acquisition of library and information resources at University of Zambia. Table 4 shows the allocation to University of Zambia Library during 1993 to 1996 as submitted by the administration to the Bobby Bwalya Commission (ibid.).

Table 4: Allocation of Budget Expenditure to the Library as a proportion of the University of Zambia Total Budget from 1993-1996 (K'million)

YEAR	UNIVERSITY BUDGET	LIBRARY ALLOCATION	PERCENTAGE OF THE UNIV. BUDGET
1993	4499.5	99.1*	2
1994	8421.3	125.5*	1
1995	14671.6	213.4*	1
1996	11376.6	184.6*	1

Source: The Registrar's Office, UNZA (Bobby Bwalya Commission, 1998)

\*Funds not released by central administration.

However, according to the University of Zambia Librarian's submission to the Bobby Bwalya Commission (1998) the allocations indicated in table 6 were never released to the Library by the administration.

In its findings the Commission concluded that the "marginalisation of the library at the University of Zambia has been the deliberate work of management and not that of the government" (ibid.). This is also confirmed by the fact that during the years 1993 to 1995, the University of Zambia recorded surpluses ranging from K9, 931,000 in 1994 to K12, 677,000 in 1995 (see table 5). However, no actual allocation of funds was made to the Library for the purchase of library and information resources during the years the University recorded surpluses.

Table 5: UNZA Income and Surplus figures from 1993-1995 in K'millions

SOURCE OF INCOME	YEARS		
	1993	1994	1995
GRZ Grant	4,804	7,597	9,801
Services	233	1,329	2,166
Other	595	445	710
Total	5,632	9,371	12,677
Expenditure	5486	9,291	12,051
<b>Surplus</b>	146	80	628

Source: UNZA 1994 and 1995 Annual Report.

The Copperbelt University library, on the other hand, received steady funding averaging 3% during the years 1993 to 1996 as indicated by table 6. Although the amounts may not necessarily be considered adequate, CBU Library was able to purchase books and subscribe to journal literature as shown in table 7 (new acquisitions).

Table 6: Allocation of Budget Expenditure to the Library as proportion of the Copperbelt University Expenditure

YEARS	UNIVERSITY BUDGET	LIBRARY ALLOCATION	PERCENTAGE OF UNIV. BUDGET
1993	154961	48259	3
1994	2808115	103312	3
1995	3738697	131507	3
1996	3735503	145815	3

Source: The Registrar's Office Copperbelt University (Bobby Bwalya Commission, 1998)

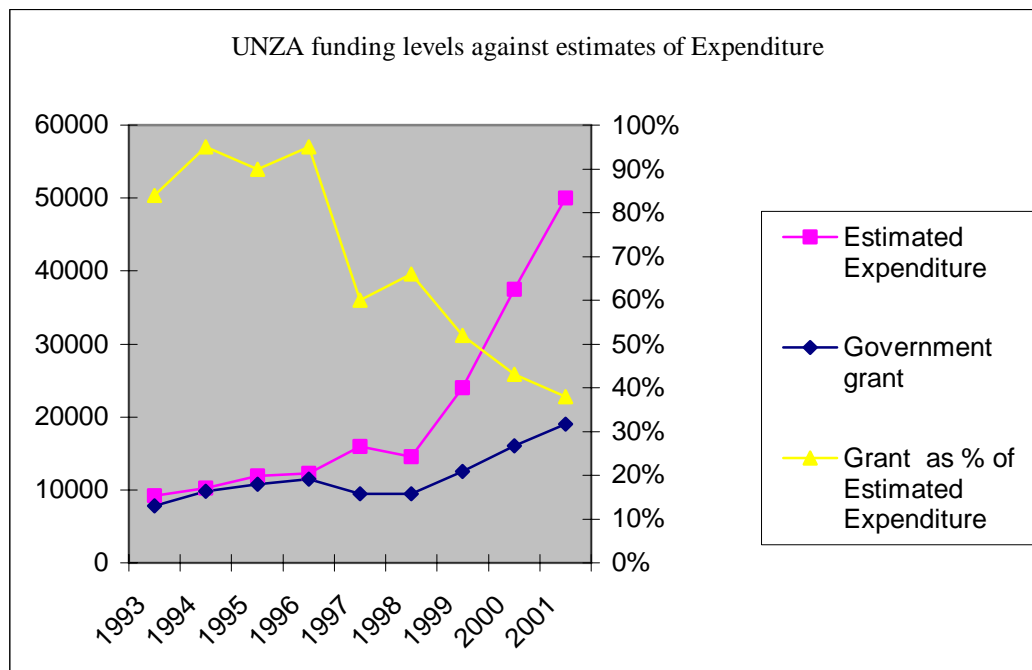
## FACTORS DETERMINING ALLOCATION FOR LIS

### Reduced government funding

Reduced budget government allocations was cited as the major factor contributing to and affecting allocations to units for a number of services, including library and information services. The grants received from government by the Universities usually cover salaries. According to officers from the Bursar's department, in some instances the grant may not even be enough to cover salaries. In addition, government releases the grant to the Universities in installments on a monthly basis making it difficult for the institutions to plan well in advance.

Lecturers observed that the problems of lack of reading materials are due to poor funding to the institutions by government. If the funding situation improved, then all library activities would improve.

Evidence from documented sources also indicates that there has been a reduction in government funding to the education sector in general. For instance, the grant for the University of Zambia in 1994 was K9.802 billion and K19.000 billion in 2001. In real terms this translates into a reduction of 95% to 38% of the estimated expenditure, respectively (see Figure 6). The reduction in public revenue is attributed to the general economic recession in the country, and also due to the government shift in policy that emphasizes cost sharing between the government, educational institutions and students. The government has also put priority on basic education, from grade one to grade nine in the hope of achieving universal education for all (GRZ, 1999:10).



### **Accounting Policy by Bursar’s office**

The respondents from the Bursar’s office at both universities stated that library and information resources are classified under capital expenditure. They also observed that government has not released any capital funds to the universities for a number of years as indicated by respondents in the Bursar’s office. Consequently, any items classified as capital goods are affected, including library and information resources.

### **Lack of budget implementation strategies**

Lack of guidelines in the distribution of received funds from government or any other source makes allocation slanted to administrative activities in the universities. The respondents said that there are no criteria used in distribution of funds. According to the respondents from Bursar’s office at the University of Zambia, central administration regards common facilities as priority and that is where funds are first channelled once received.

Academic staff also confirmed that there was no formula used in the allocation of funds by central administration. They also expressed that the administration does not carry out any consultation on the distribution of funds once it has received the grant from government.

These respondents further observed that the administration has misplaced priorities as evidenced from the way they handle institutional funds. Funding for academic activities has become poor.

Commenting on the distribution of funds in UNZA, Kelly (1991) observed that “the proportion of funds used by the teaching schools has declined ... whilst the allocation for administrative and support services grew. Research activities have accounted for a little over 2 percent of the University’s annual spending, while about 2.5 percent is used for the library”. This distribution refers to the implementation of budgets for the period before 1991.

### **Lack of Interest of University Administrators**

The Librarians at University of Zambia were of the view that lack of interest and appreciation of the role of library and information services in the learning process, teaching and research on the part of the university administration contributes to no funding of current literature. For instance, University of Zambia recorded a surplus of K80 million in 1994 and K628 million in 1995 and yet during the same period no allocation was given to the Library for purchase of either new books or subscription to journal literature.

The Bobby Bwalya Commission (ibid.) shows this situation when they concluded “marginalisation of the Library at University of Zambia had been deliberate work of management...”. The Commission also revealed that the University of Zambia management did not usually include the budget for Library and information resources in its consolidated budget request to government.

### **Scholarly Nature of Administrators**

Librarians at University of Zambia observed that administrators who continued with academic activities of teaching, research and publishing tend to support library and information services. At University of Zambia, librarians observed that one of the former Vice-Chancellors, Professor Goma was reported to have had used the library frequently during his tenure as Vice-Chancellor.

At Copperbelt University, one librarian indicated that the “*current Copperbelt University Vice-Chancellor carries out administrative work as well as lecturing, he usually visits the library for purposes of literature search for academic work.*”

### **Strategic Plan Implementation**

Lecturers observed that implementation of the 1994-1998 strategic plan at UNZA did not reflect the theme of the plan “putting quality first”. The implementation of the plan concentrated on improvement of infrastructure and neglected the content part (reading and other teaching materials). Lecturers stated that development of strategic plans end up as an academic exercise, for the following reasons:

- (i) because the plan is not followed in managing university resources during the period of implementation, and;
- (ii) because consistent lack of financial resources hinder implementation of certain aspects of the plan.

## EFFECTS OF THE FUNDING SITUATION ON PROVISION OF LIS

### New Acquisitions

University of Zambia Library has had no access to funds to purchase new books and subscribe to periodical literature since 1993 (see Table 8). The situation is slightly different from the Copperbelt University Library, which has been able to purchase new books, and continued subscribing to periodical literature over the past ten years.

New acquisitions over the years for both the Copperbelt and University of Zambia Libraries have been declining. However, Copperbelt University Library as indicated in Table 7, was able within the same period to subscribe to a few journal titles and purchase a few books.

On the other hand the University of Zambia Library survived through donations of both books and journals and were not able to purchase any new library and information resources using institutional funds. The only journals University of Zambia Library subscribed to in the years 1996-1999 were those meant for exchange purposes.

Table 7: New acquisitions of the Libraries between 1990-1999

YEARS	OWN PURCHASES				DONATIONS			
	UNZA		CBU		UNZA		CBU	
	<u>Books</u>	<u>Serials</u>	<u>Books</u>	<u>Serials</u>	<u>Books</u>	<u>Serials</u>	<u>Books</u>	<u>Serials</u>
1990	19	25	58	118	2317	*	3298	*
1991	*	*	260	145	1759	312	1068	*
1992	*	*	119	116	2520	*	808	*
1993	0	0	58	116	3643	459	1892	*
1994	0	0	325	133	2103	534	935	*
1995	0	0	483	124	2716	116	197	*
1996	0	10	29	148	2028	70	1102	*
1997	0	6	4	148	2192	19	395	*
1998	0	6	*	*	2024	*	*	*
1999	0	6	*	160	*	*	*	*

Source: Annual Reports and Bobby Bwalya Commission (ibid, 1998)

\* Data not available.

The records of journal holdings at UNZA Library revealed that subscription to most journal literature stopped around 1984 and 1986. The few current titles that the Library (UNZA) receives are donor supported. Major contributions have been received from development agencies like the Book Aid International (BAI), International Network for the Availability of Scientific Publications' African Journal Distribution Program, and AAAS.

### Quality of Study, Teaching and Research

About 86% of the lecturers surveyed indicated that they rarely found materials relevant to their information needs. Only 3% of the lecturers said they found the materials needed for their work in the library, whilst 3% indicated they never found anything in the library.

In addition, lecturers indicated that lack of current literature has increasingly made their teaching difficult, as they had to rely on old and outdated materials. For instance, a lecturer commented that he sends students to go “use the library classics” referring to the outdated materials in his field found in the Library. Academic staff submitted to the Bobby Bwalya

Commission (1998) that due to lack of funds for new acquisitions in the Library, lecturers resorted to recycling old lecture notes.

From documented sources, it has been observed that the effect of declining government budget allocations has an impact on the quality of education provided in the long run. The FINNIDA report (1999) stated that “in almost all institutions ... teaching and learning materials, tools and equipment are in short supply. Where they exist, the books used are frequently outdated. This has necessitated placing excessive reliance on teacher/instructor - centred methodologies, with much of the student participation being reduced to listening, taking notes and absorbing what is received from the instructor”.

### **Library and Information Services**

The services provided by the Libraries such as reference service have deteriorated. The reference services are based on outdated collections. The current awareness service to Library clients is almost non-existent due to non-availability of current literature.

The CD-ROM service has suffered in that there are no funds to renew subscriptions to CD-ROM databases. There are no funds to acquire documents and articles through document delivery service, even after such information has been searched and retrieved from the relatively old donated CD-ROM databases.

The photocopying service at UNZA Library is unpredictable due to the condition of the photocopier machines, which are most often not operating. Lack of photocopying or inadequate and unreliable photocopying machines in UNZA Library was cited as a hindrance in trying to duplicate certain articles for academic purposes. The Library relies on one machine to serve a clientele of more than 5000 students and 500 lecturers and researchers. The Library staff explained that the working machine is most of the time out-of-service. As a consequence, lack of or poor photocopying services the Library at UNZA has witnessed an increase in mutilation and theft of the available materials by library users. This problem is on the rise with the increased student population competing for a few available copies of the required titles.

### **Inter-Library Loan and Exchange Programs**

The inter-library loan service has also been adversely affected. Frequently, Libraries have had no funds to purchase local materials and send to co-operating partners.

The exchange program, where partners exchange publications, has been severely affected to the extent that the list of partners has reduced from 1100 to 40. The number of exchange partners have reduced due to the fact that UNZA Library, for years, was not able to reciprocate by honoring its side of the agreement in terms of purchasing local materials and sending them to the respective partners.

### **User Confidence**

The confidence of the users in the Library facility as a centre of academic activities is low. The majority of lecturers indicated that they rarely visited the Library. In the few times that they did, they were disappointed because they could not find current literature relevant to their programmes (UNZA).

For instance, one respondent (lecturer) at Copperbelt University stated that he does not use the Library and instead consults a departmental collection that has relatively current materials.

## **Infrastructure and Seating Capacity**

The Library buildings are no longer able to accommodate the growing population of users, especially the students. Lack of capital funding has forced UNZA administration to encroach onto Library space that was meant for expansion.

The UNZA Library's original seating capacity was 1,600. This space cannot hold/accommodate a population of more than 5000 students. At peak periods of the semester, students literally race for the seats in the Library.

The Library basement and other rooms planned for expansion have been taken away from the Library. The Library basement has been partitioned to accommodate lecture rooms for the school of Humanities and Social Sciences and the School of Natural Sciences, and a Computer Laboratory under the management of the Computer Centre.

The other parts of the Library building are being rented out to commercial establishments. The University Librarian at UNZA explained that central administration leased out on rent part of the Library building to a commercial Bank and Post services for commercial purposes. The money collected from the rentals go to the general vote of the central administration and not the Library.

## **CONCLUSIONS AND RECOMMENDATIONS**

The study revealed that University Libraries in Zambia are operating under hard conditions of inadequate or lack of financial resources. The Library collections hold outdated materials and face depletion. Most of the display shelves for current journals at University of Zambia Library are empty because for many years the institution had not released funds for journal subscription renewals (see Table 7).

The few resources available are under pressure from the increased student population. The growth in the student population has not been matched with growth in information resources.

The computerization of the Libraries is under threat since the external support from FINNIDA came to an end in 1999. A number of computers for public access are collapsing and need replacement. Sustainability of the computer systems in the Libraries will suffer for lack of financial resources to replace and maintain the available equipment.

## **Budgeting and Government Grant**

The various units (departments/schools) in the two Universities are accorded an opportunity to prepare their budget estimates for the planned programs. We note, therefore, that the budget preparation process is decentralized in both Universities. Departmental budget estimates are consolidated to form one institutional budget request to government. Despite submitting estimates that form a consolidated institutional budget request to government, the Libraries in both Universities have not received their allocations from central administration. The budget implementation is not decentralized, the central administration decides the expenditure of the grants and other income generated from internal sources.

Estimates for library and information resources are part and parcel of the Library's budget request. Library and information resources and services cut across the programs of the university but are budgeted for by and under one department, the Library. When no allocation for acquisition of books and journal subscription is made then all academic programs in the university suffer from a lack of up-to-date information.

The University of Zambia central administration has not released the allocation for acquisition of information resources for the past nine years, giving the reason that capital funds under which information resources are classified have not been released from government in a longtime. UNZA administration also gives the reason that the grant is never enough, hence no allocation. The Copperbelt University may not be in a position to allocate the Library funds from the grant but do so from other sources like tuition fees.

### **Tuition Fees**

The majority of the students are sponsored by government. Government releases tuition fees to both Universities in irregular installments. UNZA Library does not receive any portion of tuition funds paid by students. The CBU situation is different. The University Council at CBU approved a policy specifying a percentage (12%) of tuition fees for acquisition of library and information resources.

However, it is important to note that students pay fees towards their learning. Learning does not only take place in the class room but also the Library which provides access to a variety of printed and online knowledge sources required by students.

### **Internal Generated Income**

The study revealed that the universities are engaged in income generating activities that include running guesthouses, plant nursery, commercial farms, health centers and consultancy among other business ventures. The businesses have not been fully exploited on commercial basis. Nevertheless, some income is realized from these ventures. However, no funds are from income generated from these ventures are released for the purpose of acquisition of information resources.

Both Libraries meet their operational costs from the self-generated income raised activities like photocopying, bindery and printing services, identity card production, overdue fines and membership fees. In addition, the Libraries have managed to purchase local journals for exchange with cooperating institutions.

The devolution of financial management introduced in the University of Zambia and some units at Copperbelt University has been a welcome idea. A number of Units are in control of the income they generate independent of central administration. Operational costs of the various units are met out of the self-generated income.

### **External Financial Support**

Most of the external funding is given in form of project developments. External funding or support channeled through and managed directly by individual units end up being used for purposes specified in the project proposals. For instance, all funds for the automation of both Libraries under FINNIDA project (1994-1999) were used for that purpose. External financial support is welcome but in most instances is unsustainable.

External funding does not only come from international development agencies but also local industries, which benefit from the services of the university products (graduates and research findings/developments).

### **Recommendations**

### *To the Government*

The Government should release the universities' budget allocation all at once or in two six months installments. The government should also in addition, pay the tuition fees of students it sponsors at the registration stage and should complete payment of all arrears owed to the Universities. Government should also implement the recommendations of the Bobby Bwalya Commission on the two Universities.

### *To the University Council and Administration*

The University administration should communicate to the various units, information about the grant from government. The Universities should distribute the government grant proportional to the budget requests from the various units. The Bursar's accounting policy that classifies reading materials, as capital items should be changed to recurrent expenditure.

Tuition funds should be shared to cover all activities that input into the learning process of the student, including the library. University of Zambia, therefore, should come up with a policy that stipulates that a percentage of tuition fees will go towards meeting the cost of acquisition of information resources.

University Councils administration should commit themselves to funding library and information resources from any institutional income. In this connection, the two University Councils should formulate policies that compels the administration to fund library and information resources from any institutional income.

The Vice-chancellors should go out and seek financial support from development agencies for institutional programs and that when such support is secured, should be well managed. Universities should also lobby governments to include support to universities in the bilateral agreements; government to government arrangements may be easy to secure. Ensure that all projects designed in the Universities include a component on information resources (IT equipment and reading materials).

### *To the Librarians*

Librarians should collect information from academic staff on the required information sources before budget formulation so that estimates are based on expressed needs. Librarians should present the estimates for library and information resources separately to be funded centrally by central administration. Separation of the estimates for library and information resources from library operations budget will show that library budgets are not blown out of proportion as per perception from Bursar's office.

Librarians should actively be involved in soliciting for external support through project developments. The Universities should support these efforts by Libraries.

The central administration should provide initial capital required by the Libraries to turn some of the ventures like bindery and printing services into profit making services for financial sustainability.

### *To the Teaching and Research Staff*

The teaching and research staff should actively be supportive of the librarians' demands

for funding for acquisition of information resources. The academic staff must include access to information sources in their demands for improved conditions of service.

### **Suggestions for further study**

This study is the first to be conducted on funding of University Libraries in Zambia. The following are suggestions for studies to give detailed insight into the funding and distribution of funds in the Universities.

1. How is the grant from government utilized in the Universities?
2. How is the income generated from fundraising ventures utilized by Central administration in the Universities?

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