

DOCUMENT RESUME

ED 087 386

IR 000 125

TITLE Review of Planning Activities in Academic and Research Libraries. ARL Management Supplement Number One.

INSTITUTION Association of Research Libraries, Washington, D. C. Office of Univ. Library Management Studies.

PUB DATE Dec 72

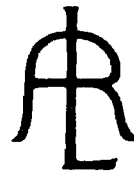
NOTE 4p.

EDRS PRICE MF-\$0.65 HC-\$3.29

DESCRIPTORS Annotated Bibliographies; *Library Planning; Methodology; Organization; Program Descriptions; Projects; *Research Libraries; Staff Role; Trend Analysis; *University Libraries

ABSTRACT

To a large extent, research library planning practices are still in an experimental stage, involving efforts to apply proven management methods to academic situations. Important recent developments in this field are: 1) there is a common recognition of the need to involve the librarian in the top administrative councils of the university and to plan on a system wide basis the information programs of the university; 2) the application of scientific management techniques has necessitated some changes in library staff and organization practices; 3) there are a number of noteworthy projects that address themselves to the problems of collecting and interpreting statistics and information on costs, benefits, and performance of library programs; and 4) there are several projects dealing with long range planning methodology that attempt to meet the needs specified by the ARL study on problems in university library management. (SH)



REVIEW OF PLANNING ACTIVITIES IN ACADEMIC AND RESEARCH LIBRARIES

The theme of this issue of the ARL Management Supplement is the planning capabilities of academic and research libraries. Library planning may be defined here as those activities involved in the formal process of deciding among alternative courses of action to achieve objectives. The planning process involves the setting of objectives, the forecasting of future conditions, and the assessment of appropriate methodologies and resources necessary to meet these conditions.

A study conducted for the Association of Research Libraries in 1970 by Booz, Allen & Hamilton, Inc., entitled Problems in University Library Management, contains the following observations regarding university library planning:

"(1) University plans and library plans are often poorly related; frequently due to the absence of a comprehensive academic program plan or planning system, and the absence of the routine involvement of the librarian in the university planning process.

(2) University libraries generally do not make use of effective planning techniques, such as the formulation of clearly defined program areas and objectives, and the study of alternative methods for achieving objectives."

In short, library planning as it exists today is not adequate to anticipate and reflect the changing educational environment.

Since the publication of this report, developments in higher education have further emphasized the need for improving methodology involved in library planning. Financial pressures particularly are forcing universities and their libraries to consider means of curtailing costs. University administrations are investigating new procedures and systems to improve resource allocation and utilization. Costs are being related to benefits. Responsibility for performance is being emphasized. These and other developments are creating operating conditions that need improved planning.

Some of the questions to which library administrators must address themselves include:

- What are the benefits of library programs, and how can they be measured?
- What are standard procedures for associating costs with library programs?
- What are meaningful short-range quantifiable performance goals that can be applied to library operations?
- How can libraries complete meaningful planning if the university does not?
- Will new planning positions and methods last and contribute in a meaningful way to improved library programs?
- How can libraries reconcile the need for the accountability required by university administrations and the pressure for staff participation in decision and policy-making?

Emerging research library planning practices are still, to a large extent, in an experimental stage, involving efforts to apply proven management methods to academic situations. In this issue we have sought to highlight four major areas involving planning efforts, and to summarize the status of these activities. The four areas discussed are: The Library in University Planning; New Organization and Staffing Patterns; Procedures and Methods for Securing Planning Data and Experience with Long-Range Planning Methodology.

NOTE TO OUR READERS

With this first issue of the ARL Management Supplement the Office of University Library Management Studies (OMS), of the Association of Research Libraries inaugurates a new program as part of its continuing effort to establish channels of communication and provide forums for discussion of matters regarding library management.

The ARL Management Supplement will be issued periodically. Each issue will be devoted to a central theme, and will contain news of activities, programs, research studies and on-going projects involving various aspects of library management. Our intention is to furnish a medium for the exchange of ideas, a directory of activities, and a convenient digest and synthesis of important developments in the field.

General themes for forthcoming issues of this newsletter include: the role of the library director, budgeting practices, personnel classification, and education for library management.

The success of such a publication as this is dependent upon the information made available to us. We hope our readers will share with us information regarding their activities which we in turn can present here. In addition, we expect that this publication will stimulate direct exchanges on procedures, activities, and results among those individuals and libraries working in the several areas described.

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1. THE LIBRARY IN UNIVERSITY PLANNING

New methods of institutional planning, increased faculty involvement in university governance, and more systematic fiscal control are all developments indicative of the critical changes taking place in the administration of universities. These changes effect directly the management of the university library, and require more involvement of the library in the university planning process. In this connection, a significant development in library management practices is the current effort to redesign the role and responsibilities of the library director. The nature of these efforts varies according to the special requirements and conditions of individual institutions, but there does appear to be a common recognition of the need to involve the librarian in the top administrative councils of the university and to plan and develop on a system-wide basis the information programs of the university. The following recent position and title changes illustrate this development:

Columbia University. In January, 1972, Warren J. Haas, Director of University Libraries at Columbia University, was appointed Vice-President for Information Services and University Librarian, a new post at the University. In this position, Mr. Haas has responsibility for the management of the University's activities concerned with information resources and the information handling capabilities that are required to support Columbia's educational program. Mr. Haas will also serve on committees of the Columbia Board of Trustees. The new post reflects the intent of the University to review fundamental organization in order that administrative structure might enhance and effectively support the academic objectives of Columbia.

Indiana University. In January, 1973, Carl Jackson becomes the Dean of Libraries and Librarian of Indiana University. In this capacity, Mr. Jackson will add to the regular duties of head librarian on the Bloomington campus, additional responsibilities as a planner and coordinator of library activities on a system-wide basis. He will divide his time between his office in the library, and an office in the university administrative complex. Responsibilities involve working with the university's research and systems development staff in carrying out a continuous appraisal of priorities in the allocation of funds and resources within the library system, as well as counseling the President on library priorities within the university system.

Johns Hopkins University. John Berthel, University Librarian at Johns Hopkins University, was given a new position with different responsibilities this month. This position will move Mr. Berthel into the university administrative facility where he will advise top management on library development. His new activities include: designing a plan for management of the library system, and integrating the information programs of the university. Mr. Berthel will also have responsibility for improving inter-institutional relationships by developing cooperative programs, particularly in the area of acquisitions and cataloging.

The Librarian as Dean

In addition to the preceding title changes, there are other activities that indicate that the library is becoming an integral part of the university's top administrative activity. Its role and status as a contributor to the academic program is being emphasized. A manifestation of this enlarged role is seen in the increasing frequency of the Librarian serving with the rank of Dean. Out of 78 academic institutions associated with ARL, six Librarians hold the title of Dean (Dean of Libraries, of Library Services, of Library Administration, of Library Affairs, etc.). While a title alone, of course, does not indicate the level of responsibility, this, along with other developments noted here, further illustrates the priority of the library's role in the university's organization.

NCHEMS at WICHE

There are a number of developments relating to management of institutions of higher education generally that are of interest to research libraries. One group which is especially active in this area is the National Center for Higher Education Management Systems (NCHEMS) at WICHE, which seeks to improve higher education institutional management and decision-making processes. The Center develops tools and procedures for deriving information relevant to higher education management at the institutional, state, and national levels, and trains users and potential users in their implementation. These tools are based on the idea of improving the accountability of universities in respect to the planning and allocation of available resources. NCHEMS is supported primarily by the U. S. Office of Education and the Ford Foundation, with additional grants from other agencies and foundations. For further information, contact NCHEMS, Post Office Drawer P, Boulder, Colorado 80302.



2. NEW ORGANIZATION AND STAFFING PATTERNS

The application of scientific management techniques to the administration of the university library has necessitated some changes in library staffing and organization practices. The special skills of library management experts are now essential, particularly in the area of library planning. In addition to the library administrator, who has primary responsibility for the library's planning program, staff and organization capabilities are needed to assist in the planning process in such areas as systems research, PPB, and data analysis.

Planning Budget Officers

The Planning and Budget Officer is increasingly recognized as an important member of the top management team of the library. His role is described in the ARL Office of University Library Management Studies (OMS) publication Planning

Aids for the University Library Director: "This officer would serve as coordinator of the planning program and as the director's staff assistant, responsible for applying management techniques to improve library service. The planning officer can act as manager of the various group efforts in the long-range planning program. He would see that schedules and commitments are met, that information is properly exchanged, and the obstacles are overcome. He would work directly with each administrator and each group, providing technical assistance in developing the best possible strategy for the planning program."

In September, 1972, the Office conducted a survey of member libraries of the ARL to identify libraries employing a Planning/Budget Officer, and to determine the nature of his responsibilities. Results of the survey show that of the 89 libraries contacted, 17 have, or are in the process of establishing, a distinct administrative officer with major responsibilities for coordinating and promoting long-range planning. Coordination of the planning activities of the several organizational parts of the library is presumably the major focus of the position. In the survey, the following tasks were the most frequently cited specific responsibilities of the Planning/Budget Officer: (1) Supplies data required in planning and budgeting processes, including statistical projections and data analyses; (2) Supplies unit administrators with institutional guidelines for budget formulation and interprets these university guidelines in the context of library operation; (3) Develops and applies management techniques to the library planning and budgeting process; and (4) Prepares and monitors library budget. For additional information on this survey and a list of Planning/Budget Officers, contact the ARL Office of Management Studies.

Research Units in University Libraries

Several institutions are allocating staff and money to the operation of organizational units that are intended to assist the planning efforts of the library.

Columbia University. In July, 1972, the Columbia University Libraries established a Planning Office. Under the direction of Jerome Yavarkovsky, Assistant Librarian for Planning, the Office will help develop methods to increase selectivity in resource development and to clarify the relationship between academic needs and library services. The staff will also plan new capabilities to accommodate changing methods of instruction and new forms of information storage and transmission. Within the Office, the Library Research and Analysis Department has been organized to carry out projects and analyze problems defined by the Planning Office or other units.

Joint Universities Libraries. In 1970, the Office of Research and Development was established as a separate unit of the Joint Universities Libraries, by a grant from the Council on Library Resources. The grant enables the JUL to improve current operations, to formulate a program of library development, and to make choices conducive to the realization of the goals of the university community. Among its more specific func-

tions, the unit is responsible for the development of a 10-year plan and the application of management principles to library operation. In addition, the unit is conducting a systems study, a task analysis study, a user attitude study and a program budgeting study. For further information contact: James Hopkins, Director, Office of Research and Development, Joint Universities Libraries, Nashville, Tennessee.

Purdue University. The Purdue University Libraries Instructional Media Research Unit (IMRU) under the direction of Professor Don L. Tolliver, has recently been given added responsibility for research into library problems relating to operational managerial functions. Two areas currently being studied are the allocation of library funds and an analysis of methods for the gathering and use of library statistics.



3. PROCEDURES AND METHODS FOR SECURING PLANNING DATA

Reliable statistics and information on costs, benefits, and performance of library operations are essential for intelligent planning of library programs. The problems of collecting and interpreting this type of data are well-known. There are a number of noteworthy projects in this area which are described below. Some of these projects are research library activities and others are projects of interest to research libraries.

JUL Project on Program Costing

A developmental project is now underway at the Joint Universities Libraries to determine the programs of work and to calculate the costs of these programs. The intent of this project, which was funded by the Council on Library Resources, is to identify costs of library services and support activities and relate them back to an academic unit.

The JUL system is based on process cost accounting. This is a method for applying historical cost and performance data to the measurable outputs of the several functional activities of the library. The structure for determining these processes starts with a technical services/reader services split, and drops to the level of activities that produce a discrete output.

The Research and Development Office of JUL expects to complete the design and testing activities and to begin operation of the system on July 1, 1973.

For additional information contact James Hopkins

NCHEMS Project on Cost Analyses

This project is designed to develop procedures for conducting cost analyses in institutions of higher education. These procedures will define the methodology for identifying, distributing, and allocating cost information to the programmatic activities of institutions of higher education. Part of this project involves a library costing study being conducted at Florida Atlantic University. This study is concerned with the development of quantifiable means of measuring library outputs, and relating costs to those outputs and to the programs of the university.

Hamburg Project

This is a U.S.O.E. - sponsored research project to investigate the design and development of a national model for a system of library statistical data for university and large public libraries which was undertaken at the Wharton School, University of Pennsylvania, under the direction of Professor Morris Hamburg, assisted by Leonard E. Ramist and Michael Bommer. The general purpose of the model was to provide a statistical data system which constitutes a comprehensive framework for rational planning and decision-making concerning library operations and resources. This system is meant to include the statistical information requirements for a library's own administrative and managerial purposes, as well as for library associations, legislators, government administrators and funding officers.

The basic methodological approach of the research investigation was that of systems analysis, starting with an inquiry into the objectives of the library as a system. Library planning and decision-making as a means of achieving library objectives were then analyzed. The basic needs for information for these planning and decision-making activities formed the basis for the data needs of the statistical information system. The project has been completed and the results are in the process of being readied for publication.



Cost Studies

There is increasing evidence that cost-reporting and accounting techniques are becoming more widely understood and employed in the management of university and research libraries. Information on cost and systems analysis of library operations is becoming more plentiful. Problems encountered in the collection and interpretation of cost information include incomplete data and standards of measurement, and unclear statements of information systems objectives. However, several recent publications and research projects offer encouraging evidence of progress being made in the area of cost studies.

1. Bourne, Charles P. Cost Analysis of Library Operations. (In manuscript. To be published in 1973 by Wiley.).

This is a comprehensive collection and review of cost data to date for library operations. Cost data for each of the major library technical processes are summarized, tabulated, and plotted to show trends in unit costs over the past 30 years. 300 references are included.

The author, Director of the Institute of Library Research, University of California, Berkeley, also published, in 1970, Data Collection and Cost Modeling for Library Circulation Systems which developed a cost model and methodology for reporting data in a more consistent way.

2. Price, Douglas S. Collecting and Reporting Real Costs of Information Systems. (Currently available only in microfiche from ERIC - Order No. ED 055 592. Becker and Hayes will publish in Fall 1973, under title Handbook of Costing for Information Systems.)

Described as a "nuts and bolts approach," this document provides a usable, practical "building block" system for unit costing. Although directed toward "information systems," the models, concepts, and methodology are readily adaptable to university library programs. Fourteen appendices provide working tools for system utilization.

3. Wilson, John H., Jr. "Costs, Budgeting and Economics of Information Processing," in Cuadra, Carlos A., ed. Annual Review of Information Science and Technology, Vol. 7, Chapter 2. Washington, D.C., Am. Society for Information Science, 1972, pp. 39-67.

This is an excellent literature review and analysis that cites 180 references to recent publications regarding cost reporting and accounting, cost-effectiveness analysis, PPB systems, cost benefits, the economics of information, concluding with a section on trends, questions and problems.

4. EXPERIENCE WITH LONG-RANGE PLANNING METHODOLOGY

The ARL study on problems in university library management cited a need for long range planning efforts which specified (1) the role and requirements of the library in relation to the academic program of the university; (2) the objectives and plans of the library as they contribute to academic programs; and (3) the library resources (financial, personnel, equipment, facilities, etc.) needed to implement plans. The long-range planning projects described below attempt to move toward these requirements and at the same time try to answer the question "How do we plan for today to be ready for tomorrow?" These efforts are essentially attempts to manage more rationally the process of securing constructive change and improvement in research libraries.

Cornell University

In 1971, Cornell University Libraries (CUL) received a grant from the Council on Library Resources to work with the American Management Association Center for Planning to develop a comprehensive long-range planning program for the Cornell Library system. Over the past 10 months top-level administrators and middle-level staff from CUL, working with AMA staff, have made considerable progress in the application of the AMA system to the planning and administration of the CUL programs.

The intent of this project is to: (1) determine a strategic long-range plan; (2) prepare a program for implementation; and (3) assess the impact of such a planning process upon library services and operations.

Briefly, the activities to date have involved the design of a series of broad and specific library objectives, development of basic library policies, and construction of a proposed plan for a continuing planning process.

The planning team is entering the later stages of this effort and expects to complete a second five-day retreat at the AMA Planning Center this month. This part of the AMA's procedure is intended to analyze alternative courses of action, and to agree on means of implementing strategies to achieve the stated objectives.

For further information, contact: David Kaser, Director of Libraries, or David Sellers, Planning and Budget Officer, CUL, Ithaca, New York.

ARL Management Review and Analysis

The Office of University Library Management Studies of the Association of Research Libraries has developed a Management Review and Analysis Program (MRAP) designed to provide a research library with guidelines for use in performing an internal study and evaluation of library management policies and activities. This investigation is conducted over a six-month period by a group of staff members from the library. The analysis involves the systematic application of principles of management in the review and evaluation of the library's planning, policy development, organization, and personnel practices. The intent of the self-appraisal is to determine what essential changes should be made by the library to ensure success in its programs of service and resource development.

Libraries participating in this program receive a manual developed by the ARL Office that provides a framework for conducting the study. The manual includes (1) suggestions for study team composition; (2) step-by-step procedures for conducting the study; (3) schedules of work activity; (4) analytic tables for use in reviewing the several management areas; and (5) a description of expected results.

In addition, at key points during the study, training sessions are scheduled at the ARL offices in Washington, D.C. to provide assistance to the library in its conduct of the study.

Presently, three institutions are participating in a test of this approach. A second group of research libraries is preparing to start the process in February, 1973. For more information on this effort, contact the ARL Office of Management Studies or one of the current participants:

University of Tennessee
Richard Boss, Director
George Shipman, Study Team Chairman

Iowa State University
Warrne Kuhn, Dean of Libraries
Tim Brown, Study Team Chairman
Purdue University
Joseph Dagnesse, Director
Michael Buckland, Study Team Chairman

Columbia University Project

Following the recently completed study of organization and staffing*, Columbia established a Planning Office to guide the efforts of the library staff in analyzing, reviewing and implementing the studies recommendations. An 18 month planning process has begun which encompasses five phases: (1) preparation of detailed organizational unit definitions that encompass unit objectives, working relationships, reporting relationships, functions and program activities, and performance criteria; (2) preparation of detailed staffing requirements including: position descriptions, requirements for staff utilization and manpower projections; (3) completion of operations planning that will prepare the library for the changed organization staffing patterns; (4) design of a budgeting system that will reflect the changed approaches to program planning and the financial resources needed and (5) development of a policy manual that will provide administrative guidelines for operating the library's major programs.

Jerome Yavarkovsky, Director of the Planning Office, will coordinate the activities involved in the project. A number of task forces composed of library staff members, working with the advice of a Senior Advisory Committee, will participate in the planning. It is anticipated that many of the tasks will be completed in 1973. Products, such as the organizational unit description and the policy manual that result from the analysis, will be made available.

*Booz, Allen & Hamilton, Inc. The Organization and Staffing of Columbia University Libraries: A Summary of the Case Study. Washington, D.C., Association of Research Libraries, 1972.

The ARL Management Supplement is issued periodically by the Office of University Library Management Studies. Editors of this Supplement are Suzanne Frankie and Duane Webster. The Office of Management Studies is administered by the Association of Research Libraries and funded by the Council on Library Resources. The purpose of the Office is to assist research libraries in effectively serving the academic and research communities through the sound management of resources available to them. Please address correspondence to Duane Webster, Director, Office of University Library Management Studies, Association of Research Libraries, 1527 New Hampshire Avenue, N.W. Washington, D.C. 20036.