Effective Planning for Academic Libraries and their Consortia

Peter E Sidorko

University Librarian, The University of Hong Kong

Vice-President/President-elect, OCLC Global Council, 2015-2017

2016 Taiwan Annual University Librarians Meeting

National United University

Overview

A. Planning: Concepts, definitions and benefits
B. Types of planning:
    1. Strategic
    2. Scenario
C. Case Study: The University of Hong Kong Library Planning Cycle
D. Library consortia: Benefits and tensions
E. Library consortia planning:
    1. JULAC case study
    2. OCLC case study
F. Conclusion

A. Planning: Concepts, definitions and benefits

Planning is the conscious predetermination of courses of action.

Direction

Making things happen that may not happen.

Alignment

Efficiency

Action

Innovation

Performance

Attempting to control the future.

Evaluation

A process of logical decision making

Change

Why care?

"What can we do as academic librarians to better prepare ourselves for what is certainly an uncertain

"If you don't know where you are going, you'll end up someplace else."

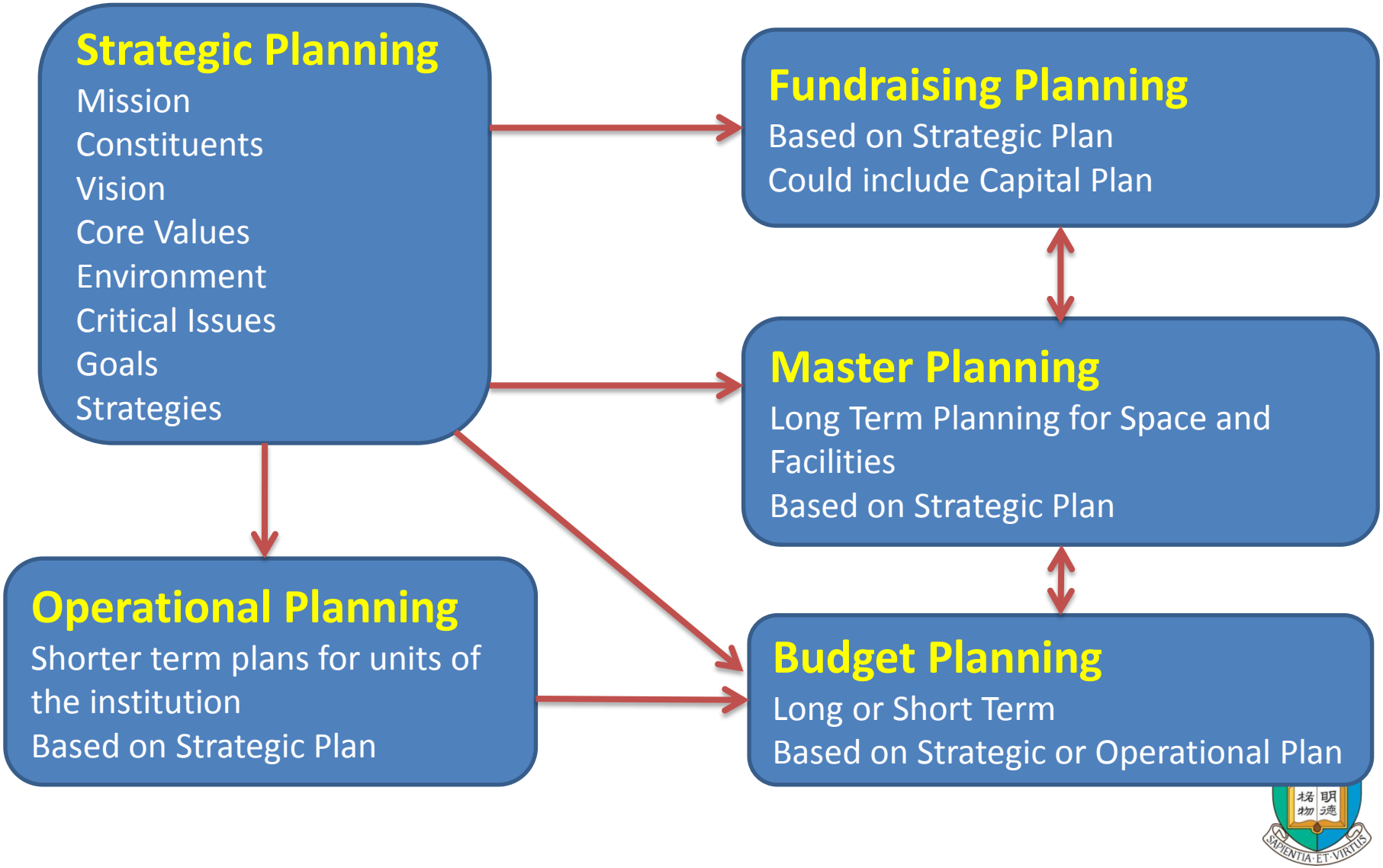
Yogi Berra

opportunities."

Steve Bell Vice President/President Elect Association of College and Research Libraries March 2012

B. Types of planning

Types of Planning



B1. Types of planning: Strategic

Strategic planning

- Strategic planning is a model of planning that places greater emphasis on creativity, innovation and intuition, where events are anticipated rather than reacted to.

Typical Strategic Planning Process

- Mission
- Vision
- Environmental Scan – Internal and External Data Analysis
- Goals and Objectives
- Strategies/Projects/Programs
- Measures of Success

Strategic planning steps

- Establish the ground rules (participation, task force, timeline, etc)
- Develop mission statement
- Conduct an environmental analysis (eg, PETS)
- Resource analysis (strengths, weaknesses - SWOT)
- Identify strategic issues (library's future)
- Define future strategies (where library is going)
- Decide on programs (how to get there – projects)
- Implement and plan to evaluate (success?)

Environmental scanning

- Libraries operate in unique environments.
- These affect the way a library performs, the services it provides and the markets in which they operate.
- As these evolve, their impact will vary over time.
- Therefore, it is necessary to **scan** the environment regularly.
- PESTLE.

How to do a library environmental scan

- Find someone else who has done it (eg, OCLC, Ithaka S+R, Horizon)
- Maintain awareness of professional developments
- Maintain political awareness (local and beyond)
- Attend conferences, courses, seminars etc
- Talk to colleagues
- Read lots
- Look at what the competition is doing – borrow liberally.

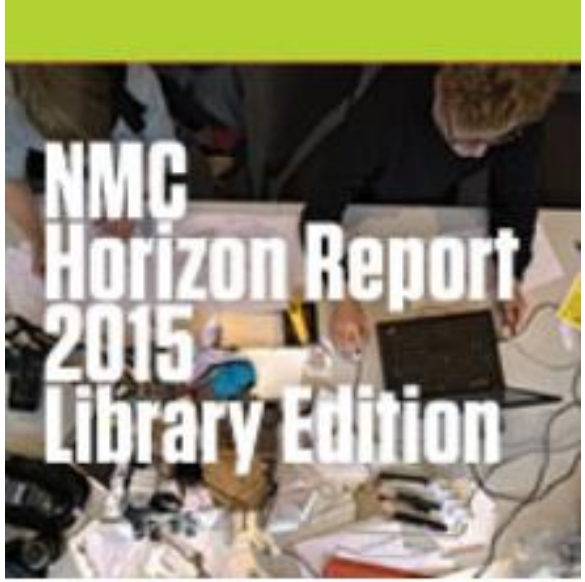
Scholarly Information Practices in the Online Environment

Themes from the Literature and Implications for Library Service Development

Carole L. Palmer
Lauren C. Teffeau
Carrie M. Pirmann

Graduate School of Library & Information Science (GSLIS)
Center for Informatics Research in Science & Scholarship (CIRSS)
University of Illinois at Urbana-Champaign

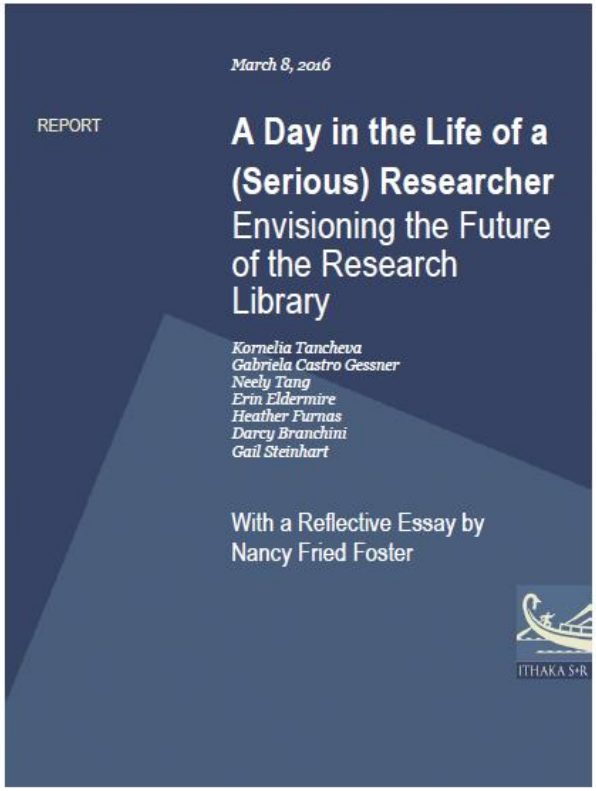
OCLC

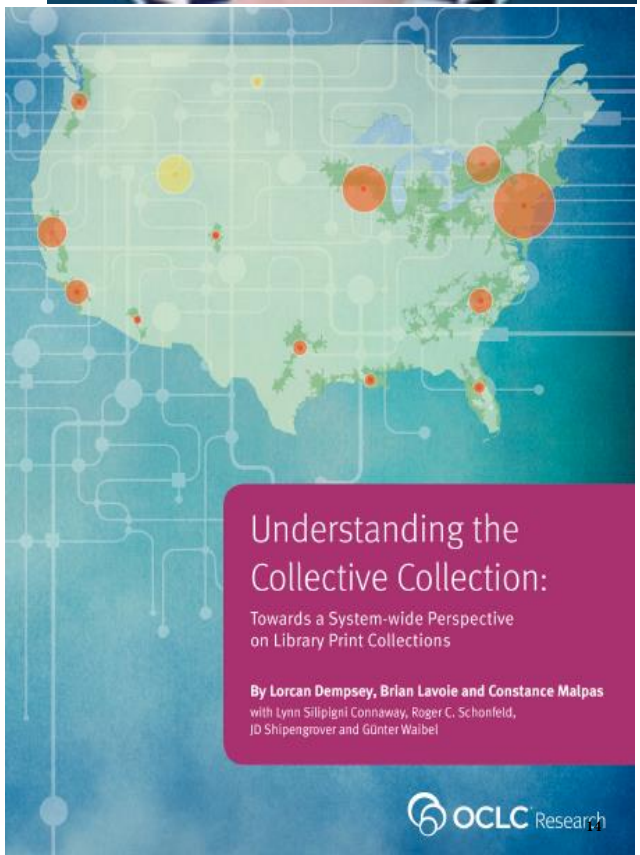


TOPICS

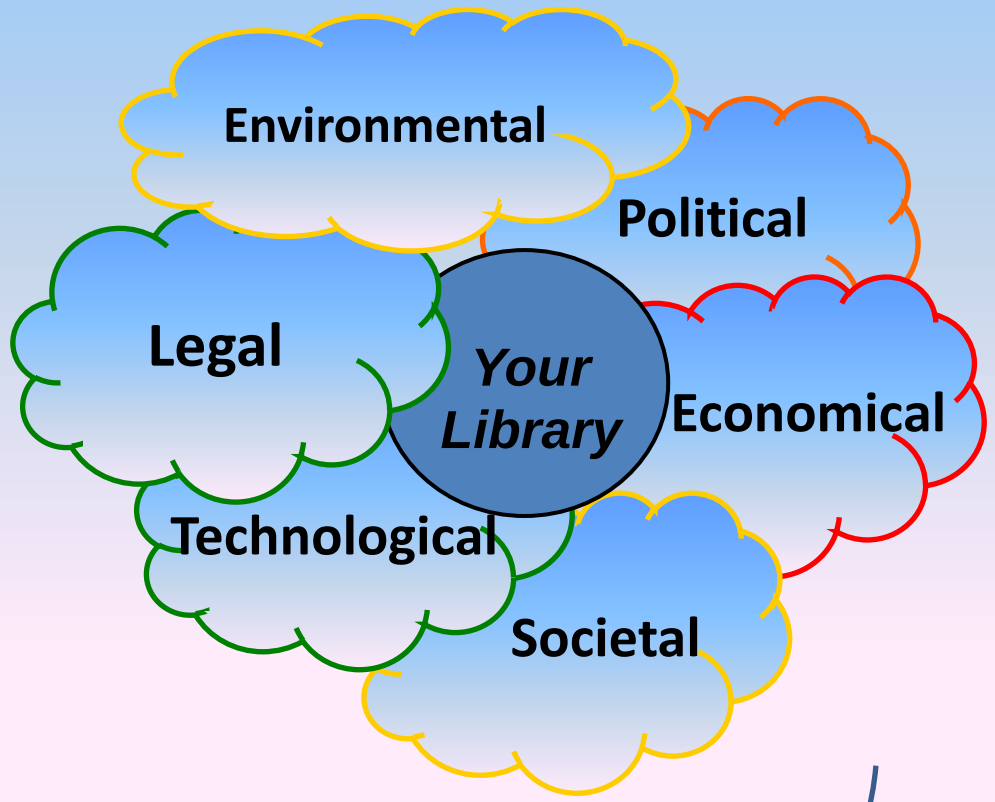
- ☐ Collections and preservation (29)
- ☐ Teaching with technology (19)
- ☐ Student learning and outcomes (12)
- ☐ Access to higher education (8)
- ☐ Governance (8)
- ☐ Talent development and management (6)
- ☐ Discovery and access (5)
- ☐ Research and learning spaces (4)

See All Topics





The Scholarship Environment



PESTLE

Strategic planning elements

B2. Types of planning: Scenario

Scenario planning

- "…is a discipline for rediscovering the original entrepreneurial power of ***creative foresight*** in contexts of accelerated change, greater complexity, and genuine uncertainty."
  - Pierre Wack, Royal Dutch/Shell, 1984
  - http://www.juergendaum.com/news/09_08_2001.htm

Scenario planning

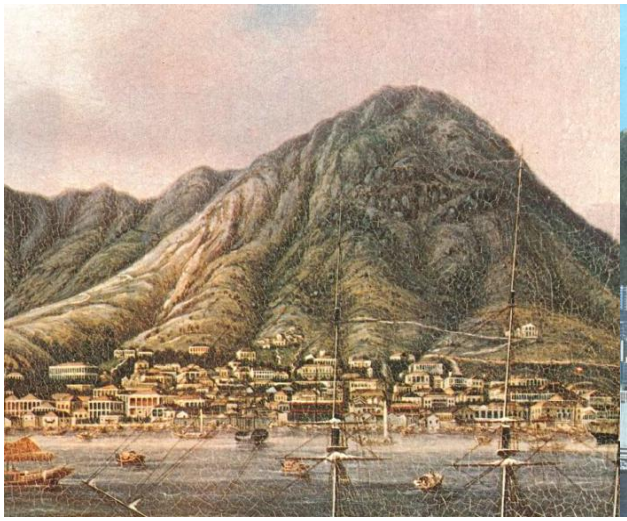
- Envisioning a library future
- Choosing alternatives
- Creating a path to a preferred future

- " . . . the librarian of the future . . . will be expected to be quite a versatile creature . . . able to *imagine futures and work towards them*."
  - Feret, B and Marcinek, M. (1999), The Future of the Academic Library and the Academic Librarian: a Delphi study. *Librarian Career Development*, 7(10), p91-107.

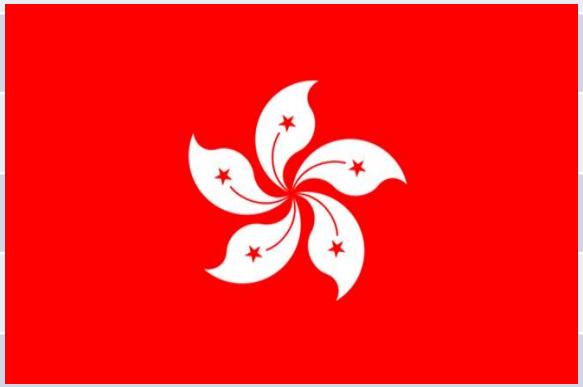
C. Case Study: The University of Hong Kong Library Planning Cycle

Hong Kong

The scenery he (Albert Einstein) beheld upon entering the harbor of Hong Kong (in November (1922)) was the most beautiful he had seen on the entire journey: with long mountainous islands alongside the rocky shore, the harbor between, them, and the many small islands rising steeply from the sea, the scene and the many small islands rising steeply from the sea, the scene reminded him of a ‘half-drowned’ Alpine landscape. (Elsingor (2011: p.31)).



Survey	Ranking
IMD World Competiveness Yearbook 2014	4
WSJ/Heritage Foundation Index of Economic Freedom 2014	1
CBRE Prime Office Occupancy Costs Survey 2015	2
Economist Intelligence Unit Liveability Index 2012	1
Financial Development Index 2012	1
World Bank ease of doing business survey 2014	2
PwC/World Bank - Overall Paying Taxes	4
UNODC Intentional Homicide 2012	6
WHO Infant mortality 2005-10	1
WHO life expectancy 2005-10	1
Skytrax, World Airlines Awards	1
New Economics Foundation Happy Planet Index 2012	102
UN Human Development Index 2013	15
Demographia Housing Affordability Survey 2015	378 (of 378)
ECA International survey on most expensive locations for a three-bedroom apartment 2014	1
The Economist Intelligence Unit – Democracy Index	63



Higher Education in Hong Kong

Higher Education

- 8 government funded institutions (UGC)
- QS Rankings 2015: HKUST (28); HKU (30); CUHK (51); CityU (57)
- Four year curriculum (September 2012)
- UG up by 30%
- Desire for “deep collaboration”
- Other non government institutes (Colleges, Vocational Training Council, General Institutes)

©2009 Google

The University of Hong Kong (HKU)

The University of Hong Kong (HKU)

- Evolved from the Hong Kong College of Medicine (1887)

- Founded 1911, teaching 1912
- 27,440 students, 15,560 UGs and 11,880 PGs
- 7,000 academic staff & 3,700 non-academic staff

Established in 1912

Libraries and Related Facilities

Libraries

Main Library

Fung Ping Shan Library

Yu Chun Keung Medical Library

Lui Che Woo Law Library

Education Library

Dental Library

Music Library

Other facilities

Off-campus medium density storage, and Preservation & Conservation Division

Off-campus Technical Services Division

The University of Hong Kong Libraries

HKUL > Digital Initiatives

Digital Initiatives

The HKU Libraries through its digitization projects, has opened up online access to local collections originally in print format only. The first HKUL Digital Initiative was launched in 1996. More digital projects are being developed to provide continuous access to digital content and services.

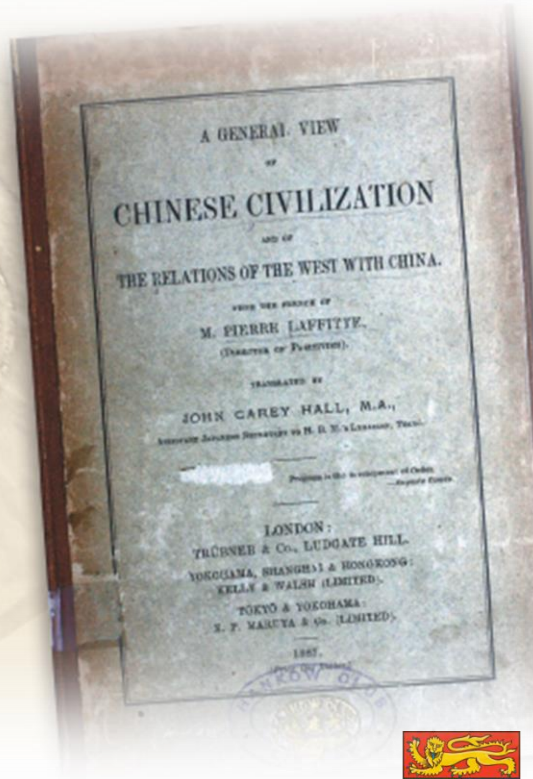
http://lib.hku.hk/database/

Google™ Custom Search | Search

- Basic Law Drafting History Online
- Beijing Historical Geography Database 北京歷史地理數據庫 HKU ONLY
- China Through Western Eyes HKU ONLY
- Chinese Collectanea in Japanese Libraries 日本見藏中國叢書目錄
- Community Health Projects
- e-Video 2.0 HKU ONLY
- ExamBase HKU ONLY
- Fung Ping Shan Library Rare Book Catalogue
- Historical Laws of Hong Kong Online
- HKU Libraries Exhibitions NEW
- HKU Press Digital Editions HKU ONLY
- HKU Scholars Hub
- Hong Kong and the West until 1860
- Hong Kong Government Reports Online (1842-1941)
- Hong Kong Journals Online
- Hong Kong Listed Company Papers Online
- Hong Kong Newspaper Clippings Online HKU ONLY
- Hong Kong Oral History Archives
- Hong Kong Stock Market Archives and Artifacts Collection
- Hong Kong Tourism Board Collection
- Hong Kong Table of Contents Database
- Hong Kong University Theses Online (In HKU Scholars Hub)
- Hong Kong's War Crimes Trials Collection
- Luke Him Sau Architectural Collection NEW
- Pacific Rim Library (PRL)
- The Last Governor Online HKU ONLY
- Early Western Books on Asia HKU ONLY
- Sun Yat-sen in Hong Kong 孫中山在香港
- Translations from Chinese
- Union Catalogue of Overseas Chinese Collection in HKU and JU 華僑華人研究書目庫

Collection Highlights
-Western Rare Books-

- Over 11,700 volumes
- Strength of the collection is on China and the Far East
- Most valuable is a 1798 edition of George Staunton's *An Authentic Account of an Embassy from the King of Great Britain to the Emperor of China*
- Other important collections: Morrison Collection, Hankow Collection, Chater Collection



Collection Highlights
-Chinese Rare Books-

- One of the largest collections in Hong Kong with more than 700 titles in 14,000 volumes
- Including 4 Song Dynasty editions, 18 Yuan Dynasty editions, as well as block prints from the Ming Dynasty and manuscripts from the Qing Dynasty.

孫中山致蘇俄遺書

蘇維埃社會主義共和國大聯合中央執行委員會親愛的同志：

我在此身患不治之症，我的心念，此時轉向於你們，轉向於我黨及我國的將來。

你們是自由的共和國大聯合之首領。此自由的共和國大聯合，是不朽的到會遺與被壓迫民族的世界之眞道途，帝國主義下的難民，將藉此以保衛其自由，從以古代奴役戰爭僞私爲基礎之國際制度中謀解放。

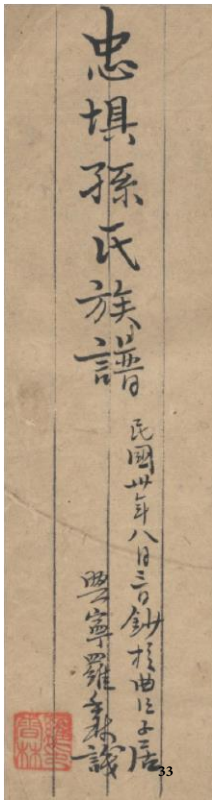
我遺下的是國民黨。我希望國民黨，在完成其由帝國主義制度解放中國及其他被侵略國之歷史的工作中，與你們合力共作。命運使我必須放下我未竟之業，移交與被護守國民黨主義與數個面組織我眞正同志之人。

故我已囑附國民黨遵行民族革命運動之工作，俾中國可免帝國主義加諸中國的半殖民地狀況之羈縛。爲達到此項目的起見，我已命國民黨長此聯續與你們提攜；我深信你們政府亦必繼續前此予我國之援助。

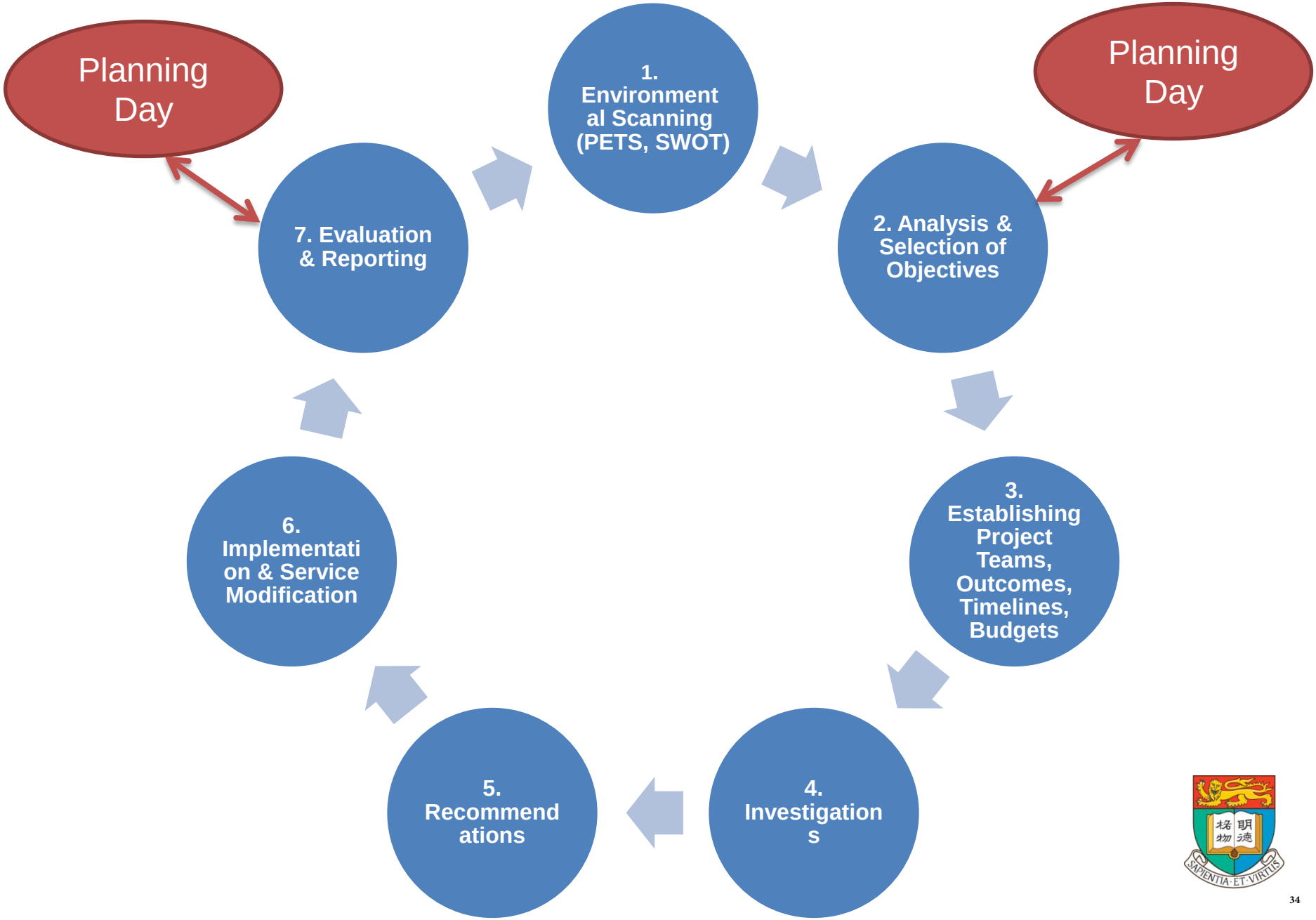
親愛的同志，當此與你們訣別之際，我願表示我熱烈的希望，希望不久即將破曉，新時蘇聯以良友及堅固而欣迎强盛獨立之中國。兩國在爭世界被壓迫民族自由之大戰中，攜手並進以取得勝利。

謹以兄弟之誼祝你們平安。

孫逸仙（簽字）



HKUL Annual Planning Cycle



Brainstormed Ideas

OP Ideas for 2016/17 Strategic Plan

Division: _____

HKUL Key Objectives	OP Ideas	Implemented in	Remarks
Ensure access to a rich and diverse base of **resources** that serve to enhance the University's endeavours			
Provide **services** that support the full range of the University's activities and facilitate user independence			
Ensure inclusive and diverse physical and virtual **environments** that enable active, independent and collaborative learning			
Engage the broader **community** in programmes and collaborative initiatives that complement University priorities			
Nurture an **organizational culture** that equips staff with the skills required to support a dynamic research library in a rapidly changing environment			

Note: Kindly send your return to Marine by 9 May 2016

Project Charter

HKUL Strategic Planning 2015/16

Operational Priority (insert number here) Project Charter

Project Title:

Project Start Date:

Project Target Date:

Project Manager:

Approach: (Overview of what you will do)

1.
2.
3.
4.

Roles And Responsibilities:

Name	Role	OP Responsibility

Does this OP require support from:

a) Administrative Services ☐ No ☐ Yes, please specify:

b) Technology Support Services ☐ No ☐ Yes, please specify:

Note: send a copy of the Project Charter to these division heads if their support is needed

Evaluation strategy and Key Performance Indicators:

Continuation strategy:

Sign offs (signatures of all the above role players)

Comments from stake holders, if any

Vision & Mission

Vision

The Libraries advances the teaching, learning, research, and knowledge exchange pursuits of the University through its outstanding resources, people-centred services as well as its innovative and collaborative approaches.

Mission

The University of Hong Kong Libraries shares with the University its aspiration to attain international distinction. To support the University's endeavours we work collaboratively across the institution to build, preserve, and facilitate access to resources required, provide services that enable resource discovery and application, as well as create diverse physical and virtual environments conducive to different learning styles and intellectual exchange.

Values

Our values provide us with a framework that enables us to demonstrate a commitment to the University's principles:

Strategic Objectives

In order to advance our Vision and Mission, our activities are founded upon five strategic objectives that will form the basis of our strategic direction for the coming five years. These are:

1. Ensure access to a rich and diverse base of **resources** that serve to enhance the University's endeavours;
2. Provide **services** that support the full range of the University's activities and facilitate user independence;
3. Ensure inclusive and diverse physical and virtual **environments** that enable active, independent and collaborative learning;
4. Engage the broader **community** in programmes and collaborative initiatives that complement University priorities; and
5. Nurture an **organizational culture** that equips staff with the skills required to support a dynamic research library in a rapidly changing environment.

Operational Priorities, 2015-2016

Resources

Review existing selection and acquisition methods to ensure resources that meet research, teaching and learning needs of the University are acquired

Prioritize binding work to ensur
are met

Create a database for inaugura
Hong Kong newspapers

Services

Review Level 3 services, equip
usage and recommend improve

Enhance support to meet the e
research postgraduates and yo

Participate in the UGC-funded
enhancing information literacy i
education through the developr
implementation of shared intera
courseware

Environments

Revamp the library webpage to
experience

Plan a multimedia centre on 2/F New Wing

Upgrade facilities for Special Education Needs (SEN) students

Community

Organize the OCLC Asia-Pacific Regional Conference in November 2016

Hold the 2016 HKU Annual Library Leadership Institute

HKU Scholars Hub enhancement and promotion

Organizational culture

Organize staff development programmes to
1.keep colleagues abreast of latest developments in technology, technical processing, service delivery, etc.
2.improve their language proficiency and IT skills

Improve efficiency in handling requests for resources, disposal of equipment and furniture, and premises maintenance by adopting the ticketing system currently used by Technology Support Service

D. Library consortia: Benefits and tensions

Cooperation:

Voluntary arrangement in which two or more entities engage in a mutually beneficial exchange instead of competing

Business Dictionary
http://www.businessdictionary.com/

"Civilization exists within the context of … irresolvable tension born of compromise. To reap the benefits of a civilized existence, we need to curb certain natural tendencies. **Library consortial activities … embody and reveal *several irresolvable tensions***."

– Thomas Peters, 2003.

Why Co-operate?

- Common challenges
- Geographical and logistical opportunities
- Benefits for each institution
- Cost-efficiency – $$s
- Cost-effectiveness – scale
- Innovation
- Support from funders
- Support from individual institutions
- New enabling technologies

Why not?

- "…rivalry and competition, mistrust and jealousy, politics and personalities, different institutional priorities and indifferent institutional administrators, unequal development and parochialism … negative attitudes, such as skepticism, fear of loss, reluctance to take risks…"

  - Verzosa, F (2004)

E1. Library consortia planning: JULAC Case Study

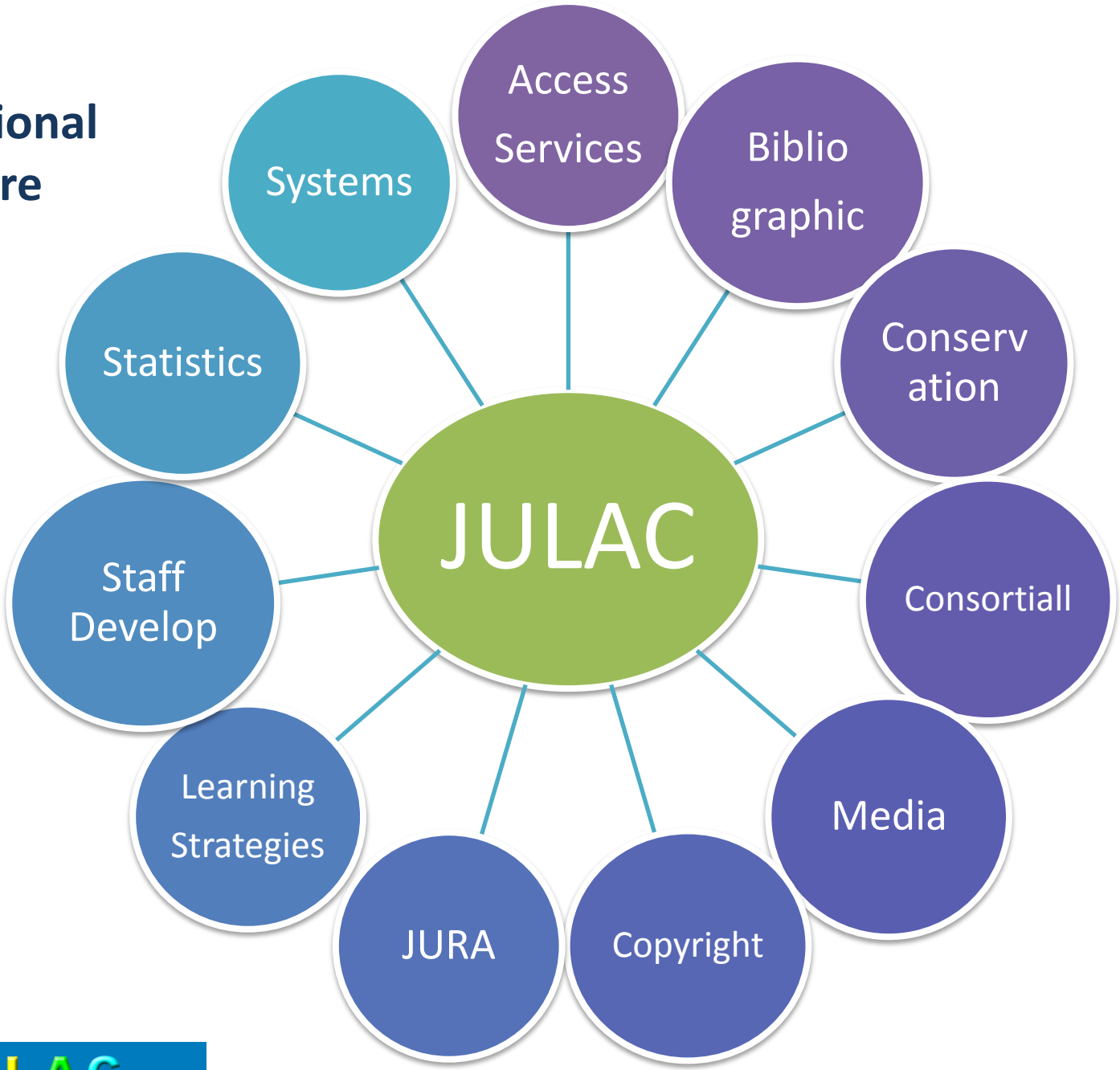
JULAC
香港特別行政區大學圖書館長聯席會
Joint University Librarians Advisory Committee

- Established in 1967 reporting to Heads of Universities Committee (HUCOM).
- A forum to discuss, coordinate, and collaborate on library information resources and services.
- Members comprise the 8 higher ed. institutions funded by the University Grants Committee (UGC).
- Affiliate members.

JULAC
香港特別行政區大學圖書館長聯席會
Joint University Librarians Advisory Committee

- Diversity in institutional profiles and priorities
- Commitment and willingness
- Unitary governance (UGC through HUCOM)
- Skills, specialisations, diverse educational backgrounds
- Geography
- Collaboratively driven
- JULAC Manager

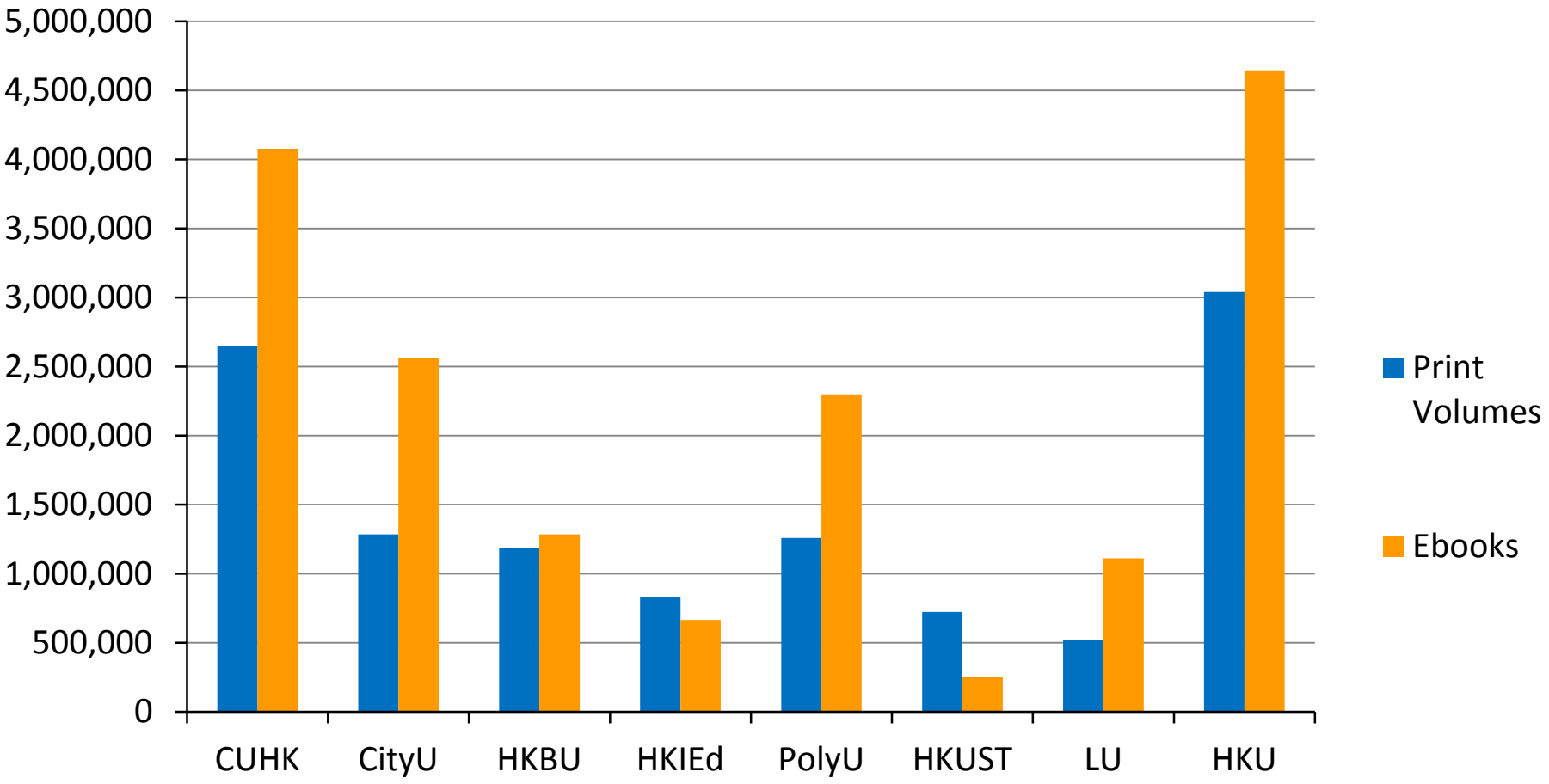
Operational Structure



JULAC

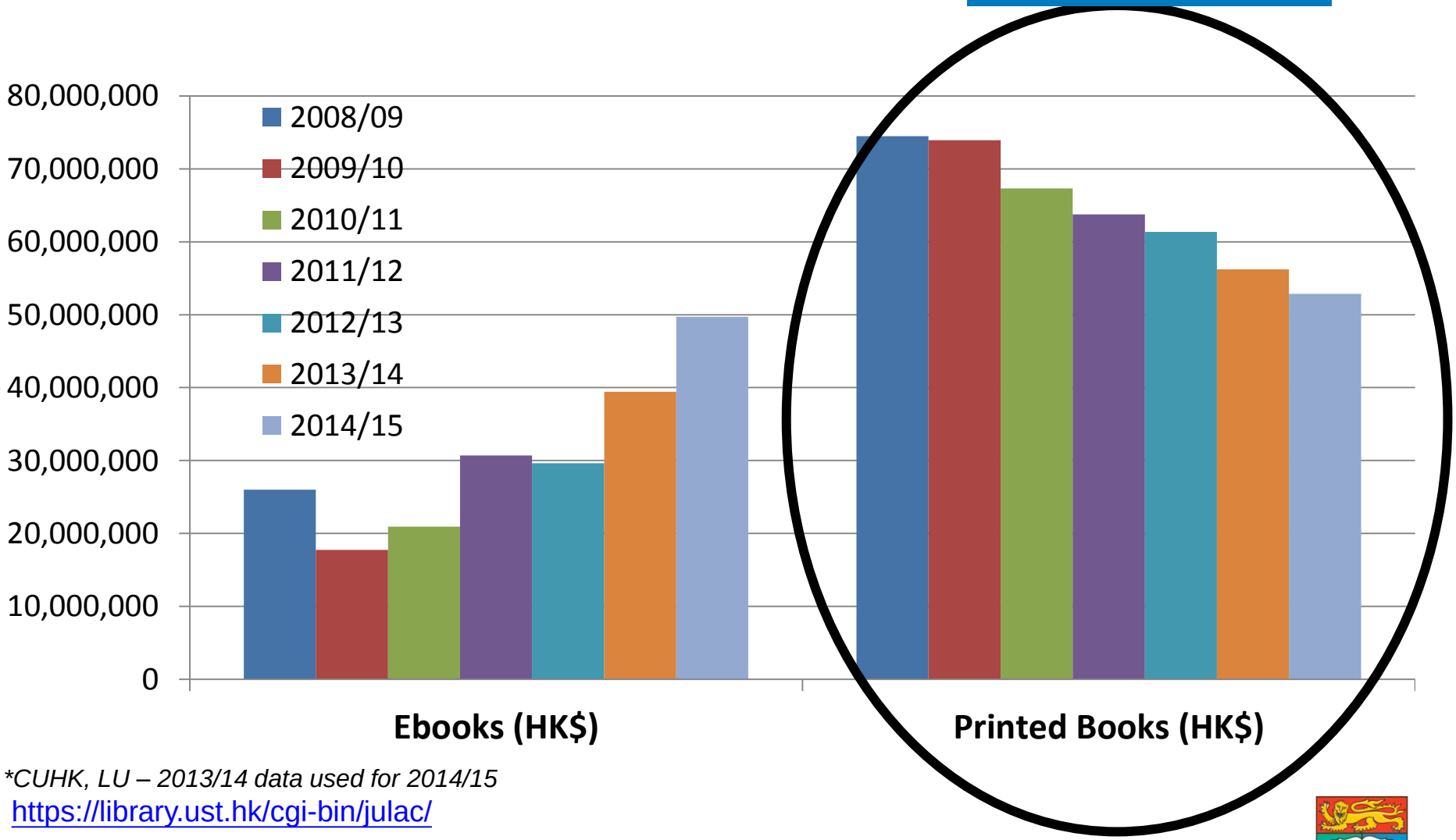
Total Volumes 2014/15

JULAC



E-Books VS Print Expenditure

JULAC

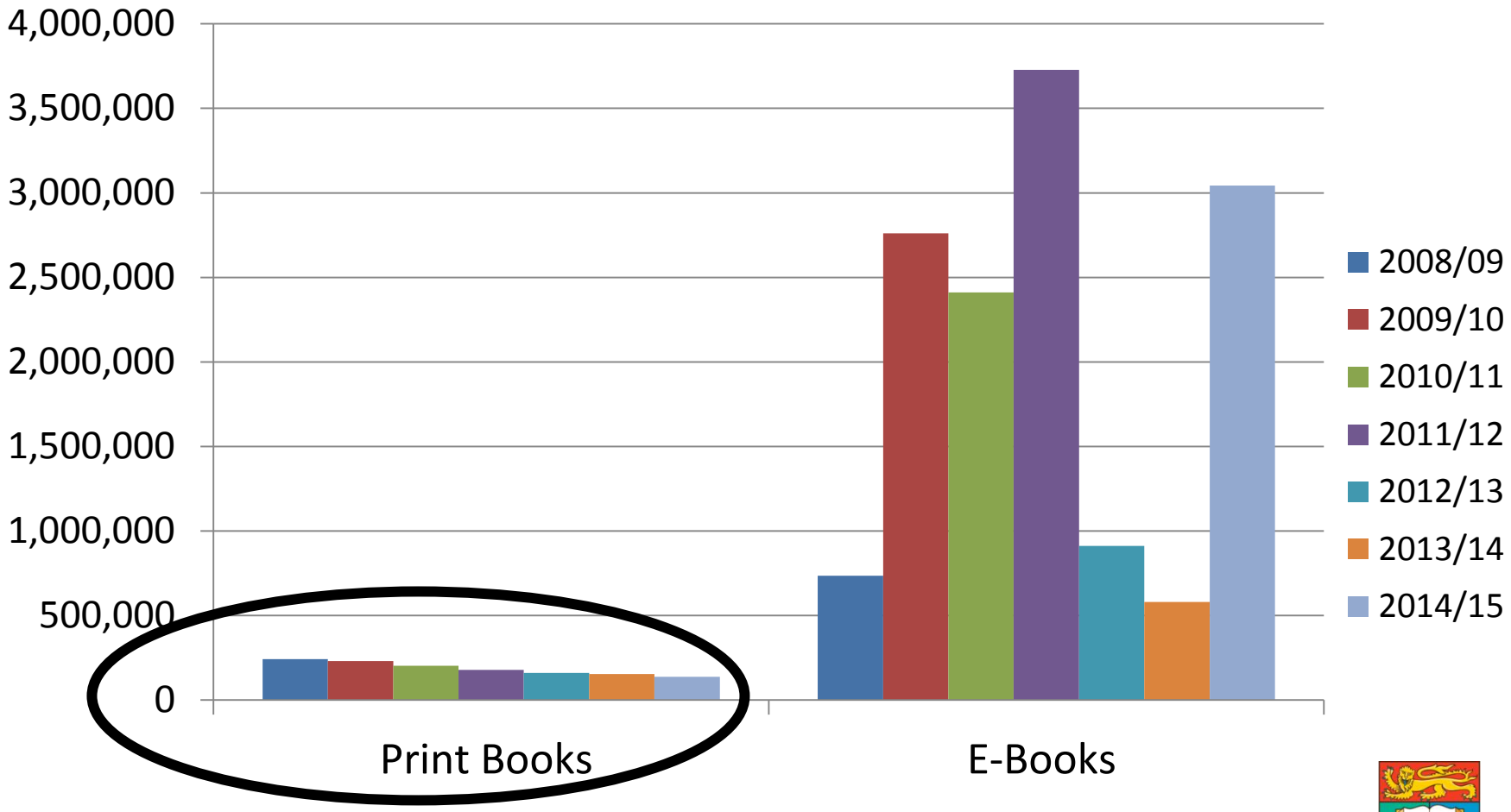


CUHK, LU – 2013/14 data used for 2014/15

https://library.ust.hk/cgi-bin/julac/

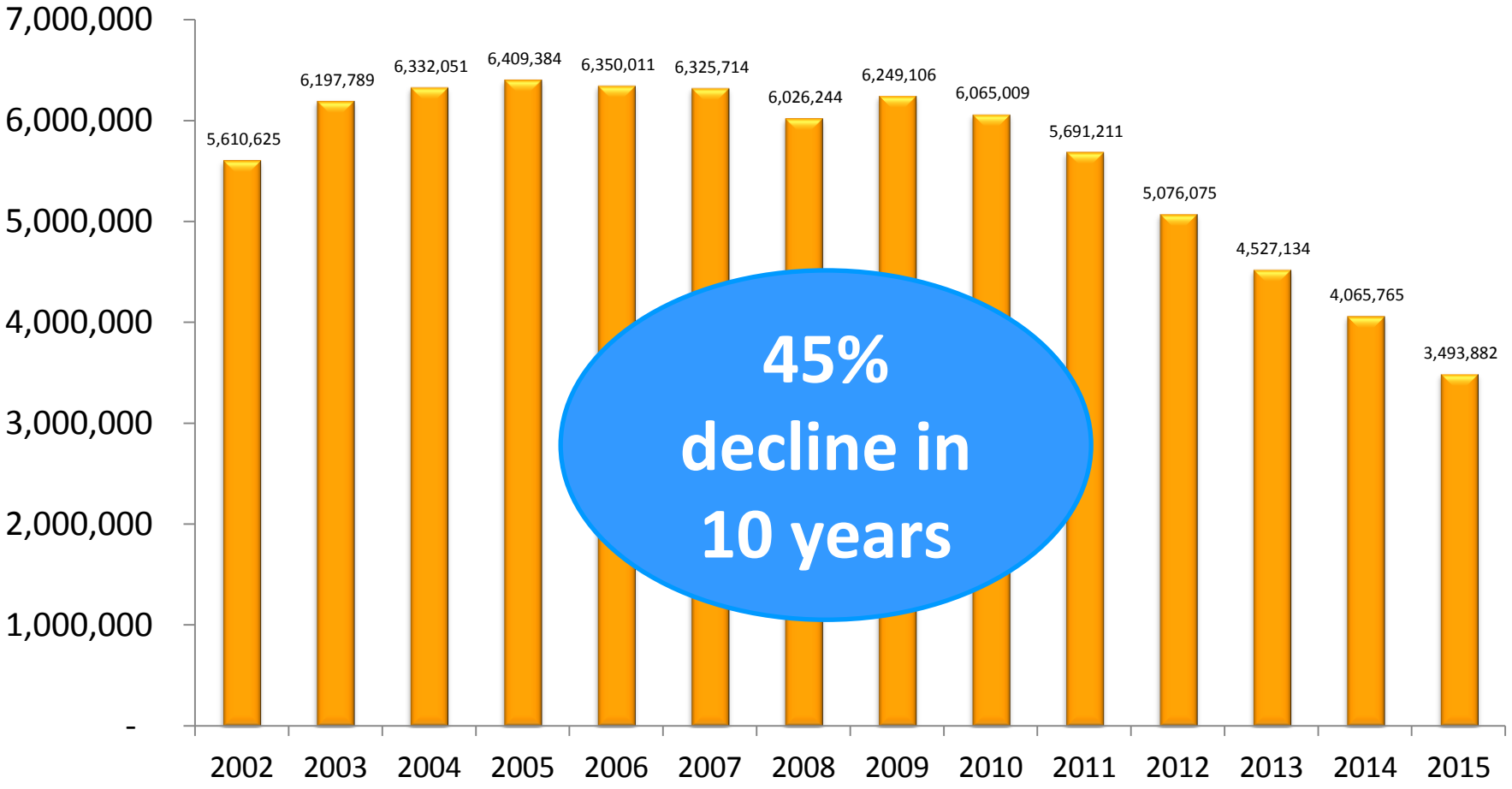
E-Books vs. Print Acquisition

JULAC



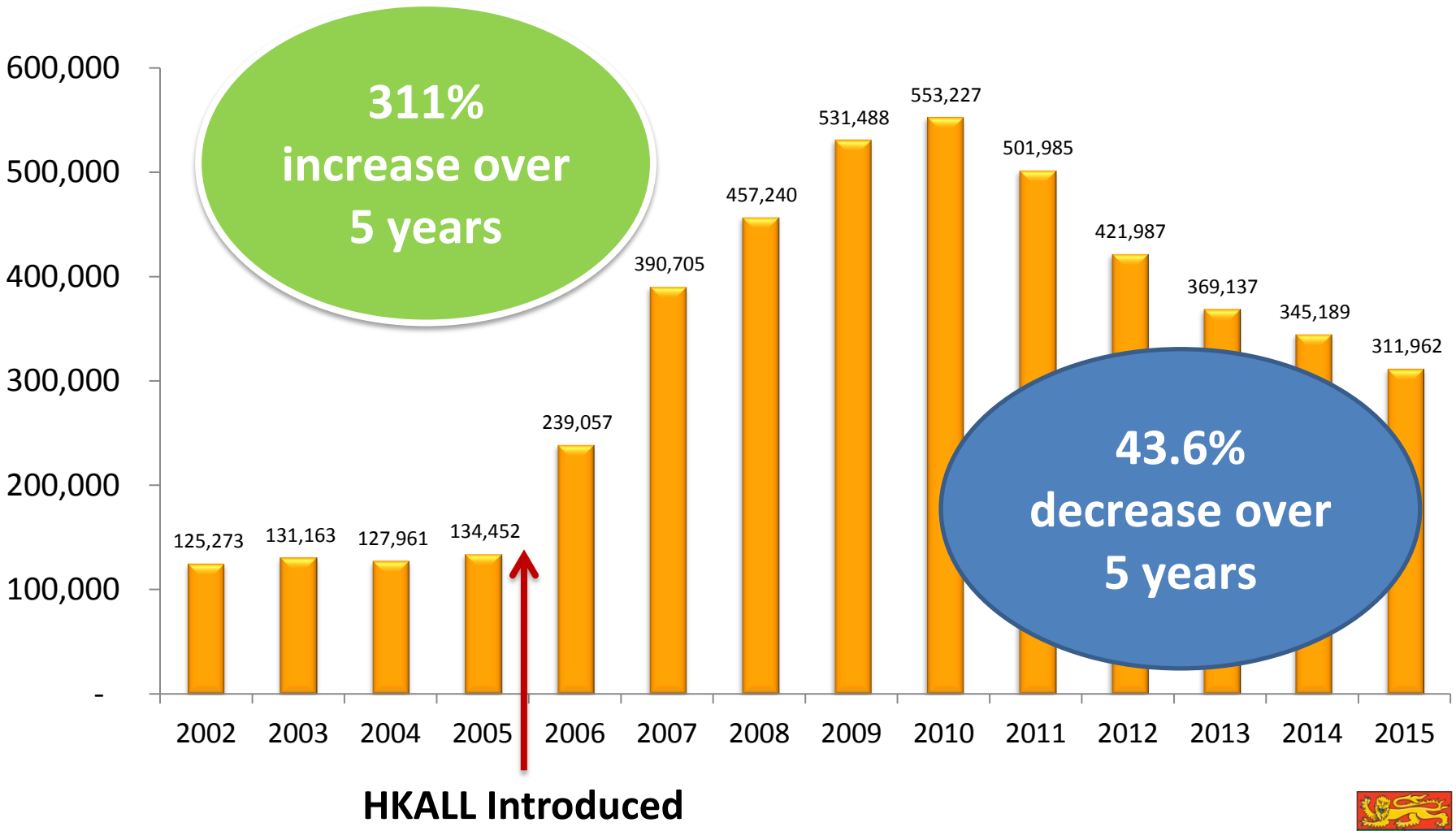
Circulation

JULAC



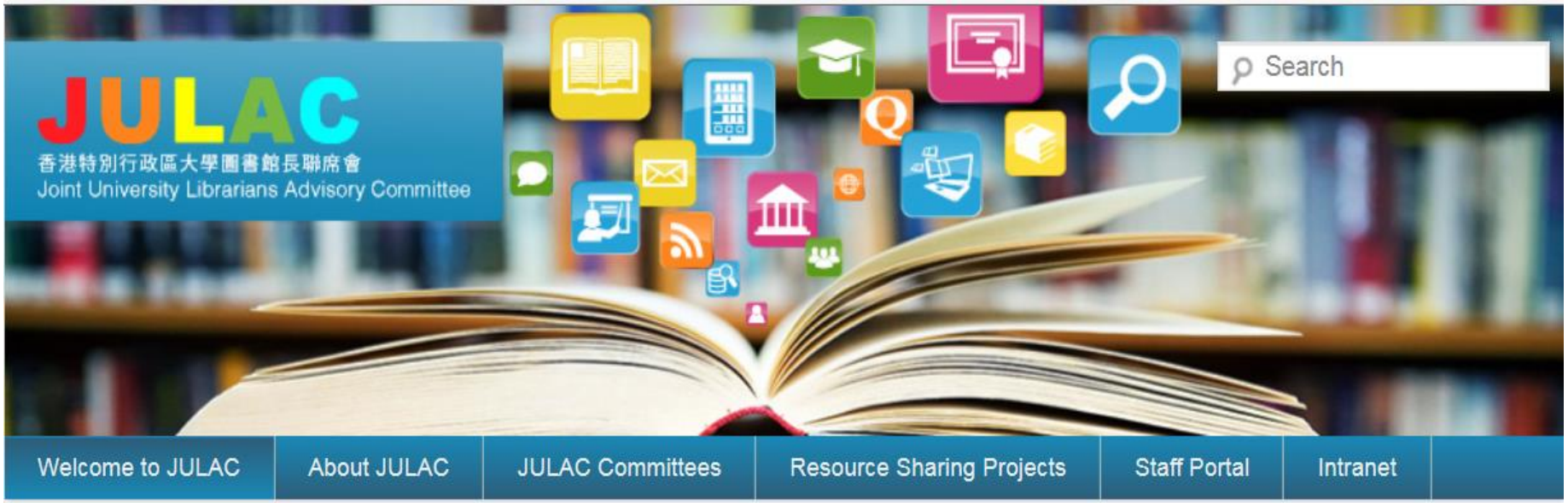
Interlending

JULAC



“JULAC is the premier body for deep collaborations related to scholarly information resources and services in Hong Kong Academia” (Vision 2013-16).

JULAC



Strategic Plan

Mission Statement

Through its collaborative efforts, JULAC creates an environment where scholarly resources are collected, managed and shared through the delivery of innovative services that enhance the academic endeavors of the UGC funded institutions.

Vision Statement

JULAC is the premier body for deep collaborations related to scholarly information resources and services in Hong Kong academia.

JULAC Top Strategic Directions 2013-2016

Goal 1: Build Collections and Deliver Innovative Services Collaboratively

Goal 1: Build Collections and Deliver Innovative Services Collaboratively

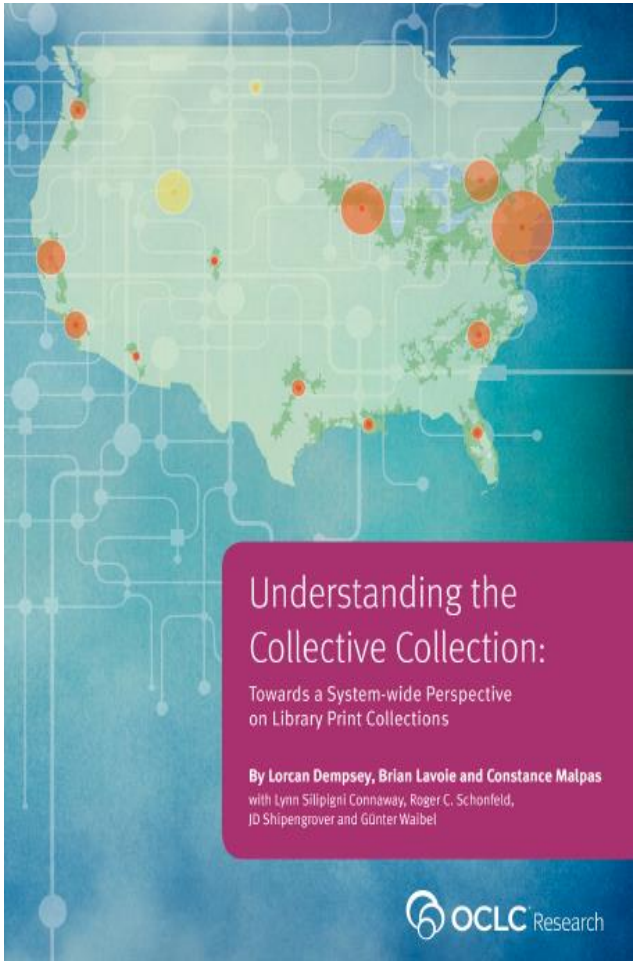
- Fully establish **JURA (Joint Universities Research Archive)** to reduce duplication of print and guarantee access to retained copies;
- Explore the possibility of a new **ILS** system;
- Explore further collaborative opportunities for:
  - Open access, Research data curation, Joint consortia purchasing, Cataloguing, Digitization initiatives, Preservation and conservation issues

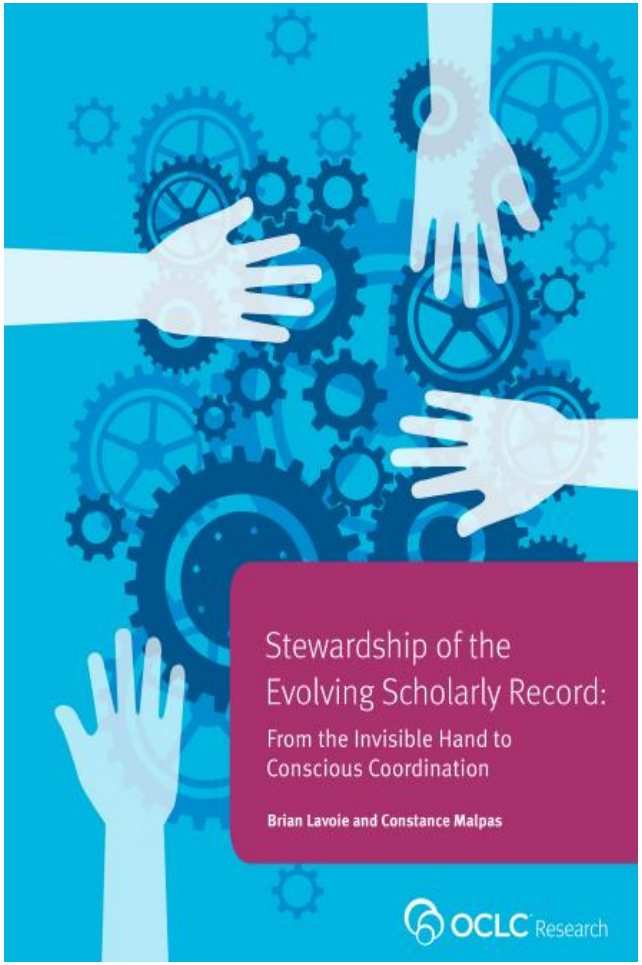
JULAC

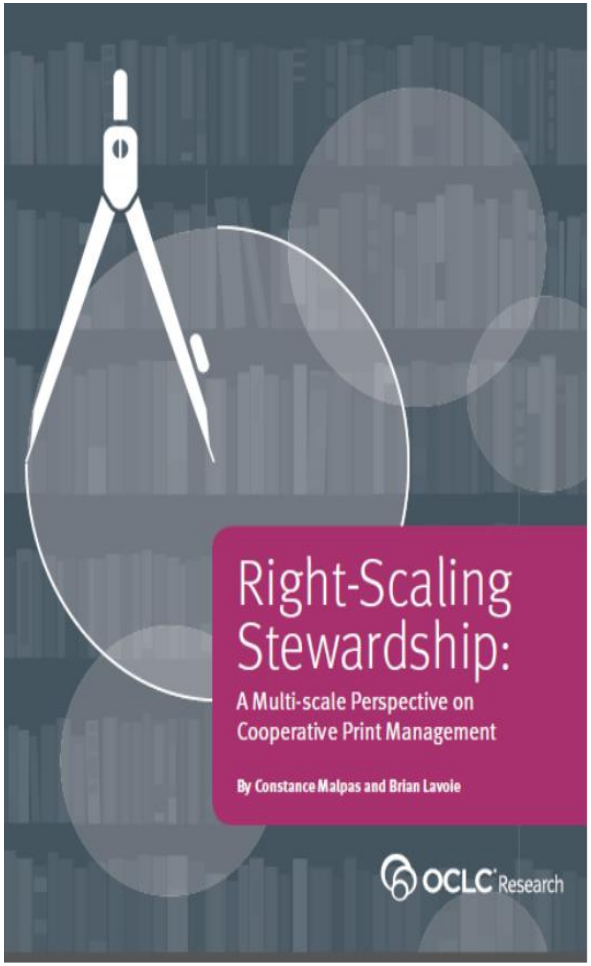
Build (and share) Collections

- Joint purchasing/licensing
  - Databases
  - ejournals
  - Monographs
  - Joint PDA, etc
- Sharing
  - Unmediated ILL
  - DD through RAPID
  - Walk in, etc

JULAC







The HK collective collection:
JURA and the distributed collection.

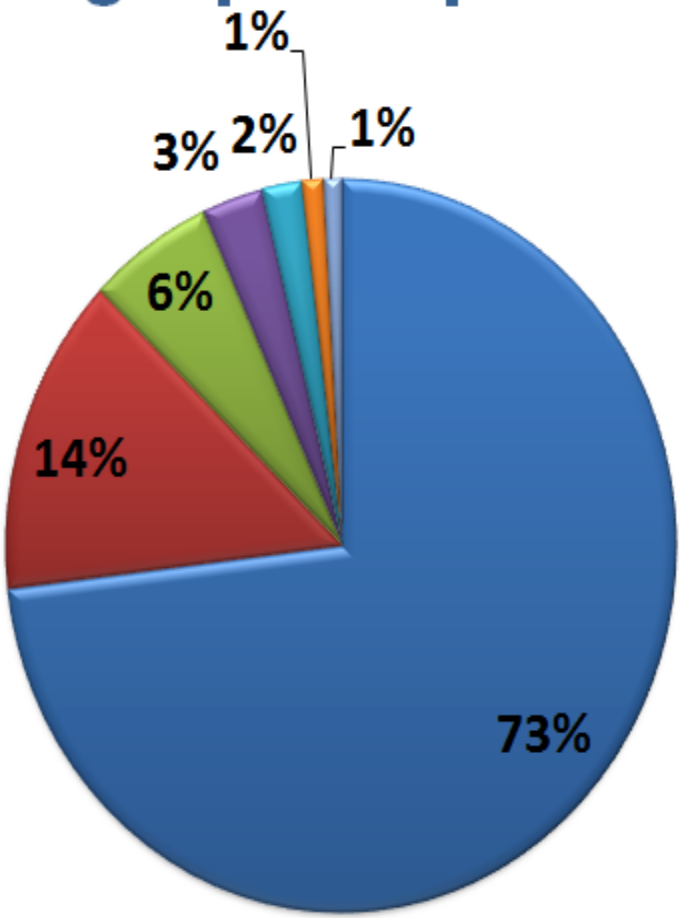
JULAC

JURA (Joint Universities Research Archive)

- ASRS
- HKU led and managed
- Joint ownership
- Shared costs
- Single copy
- Closed access
- 5.27 m capacity => 8.43 m
- HK$550m (US$71m)

JULAC

Monograph duplication in JULAC



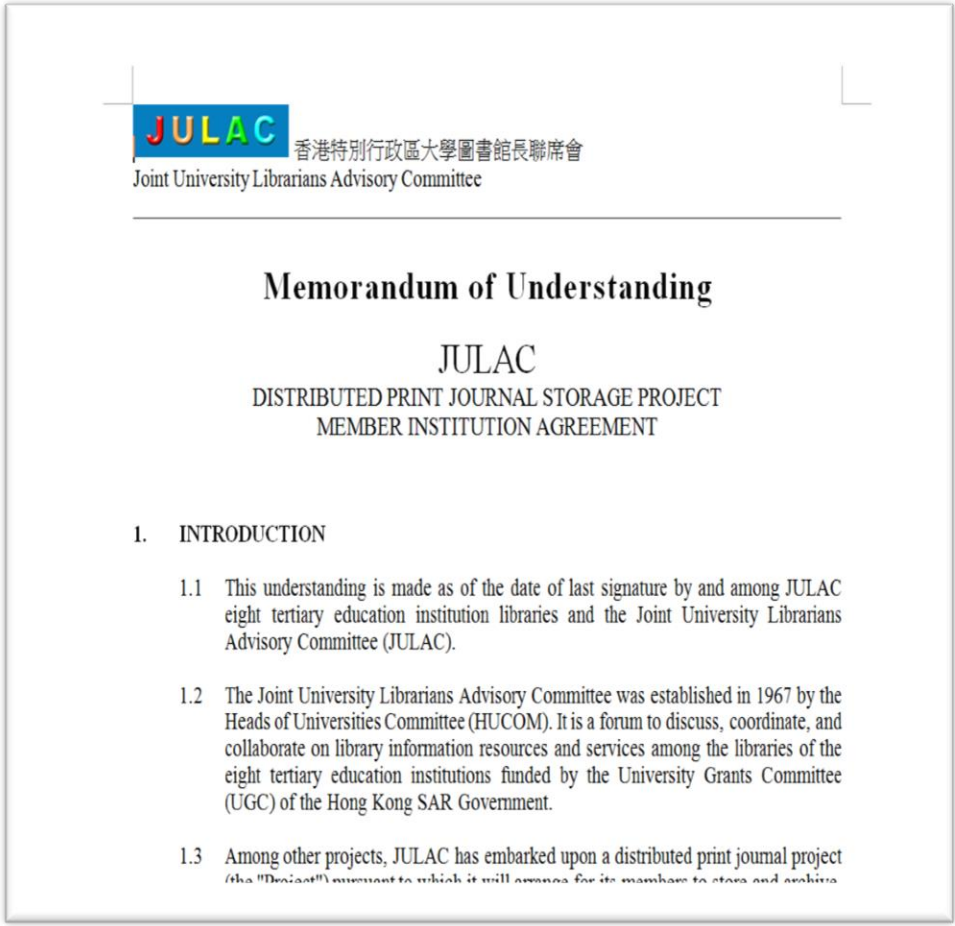
- 1 Library
- 2 Library
- 3 Library
- 4 Library
- 5 Library
- 6 Library
- 7+ Library

Total titles = 10,516,684

JULAC

Distributed single copy print collection

- Interim, awaiting JURA
- Starting with journals
- MoU
- Distributed responsibility



JULAC 香港特別行政區大學圖書館長聯席會
Joint University Librarians Advisory Committee

Memorandum of Understanding

JULAC
DISTRIBUTED PRINT JOURNAL STORAGE PROJECT
MEMBER INSTITUTION AGREEMENT

1. INTRODUCTION

1.1 This understanding is made as of the date of last signature by and among JULAC eight tertiary education institution libraries and the Joint University Librarians Advisory Committee (JULAC).

1.2 The Joint University Librarians Advisory Committee was established in 1967 by the Heads of Universities Committee (HUCOM). It is a forum to discuss, coordinate, and collaborate on library information resources and services among the libraries of the eight tertiary education institutions funded by the University Grants Committee (UGC) of the Hong Kong SAR Government.

1.3 Among other projects, JULAC has embarked upon a distributed print journal project

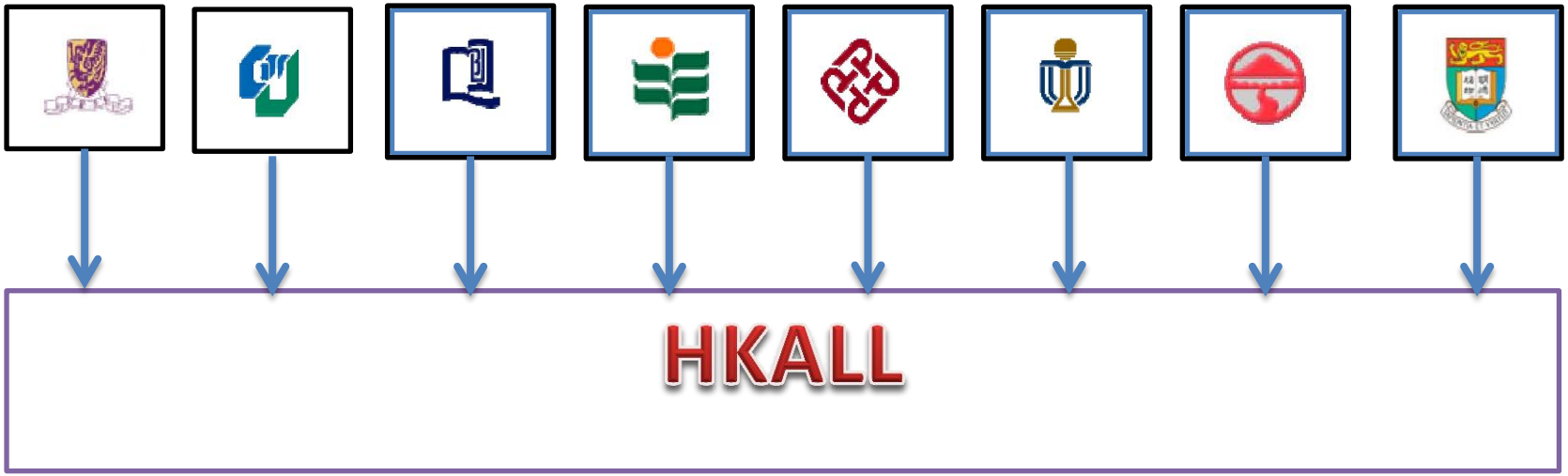
JULAC

Explore the possibility of a new ILS

- Shared ILS
- Joint tender and demonstrations concluded
- Tender analysis underway
- Decision: Pending vendor negotiation

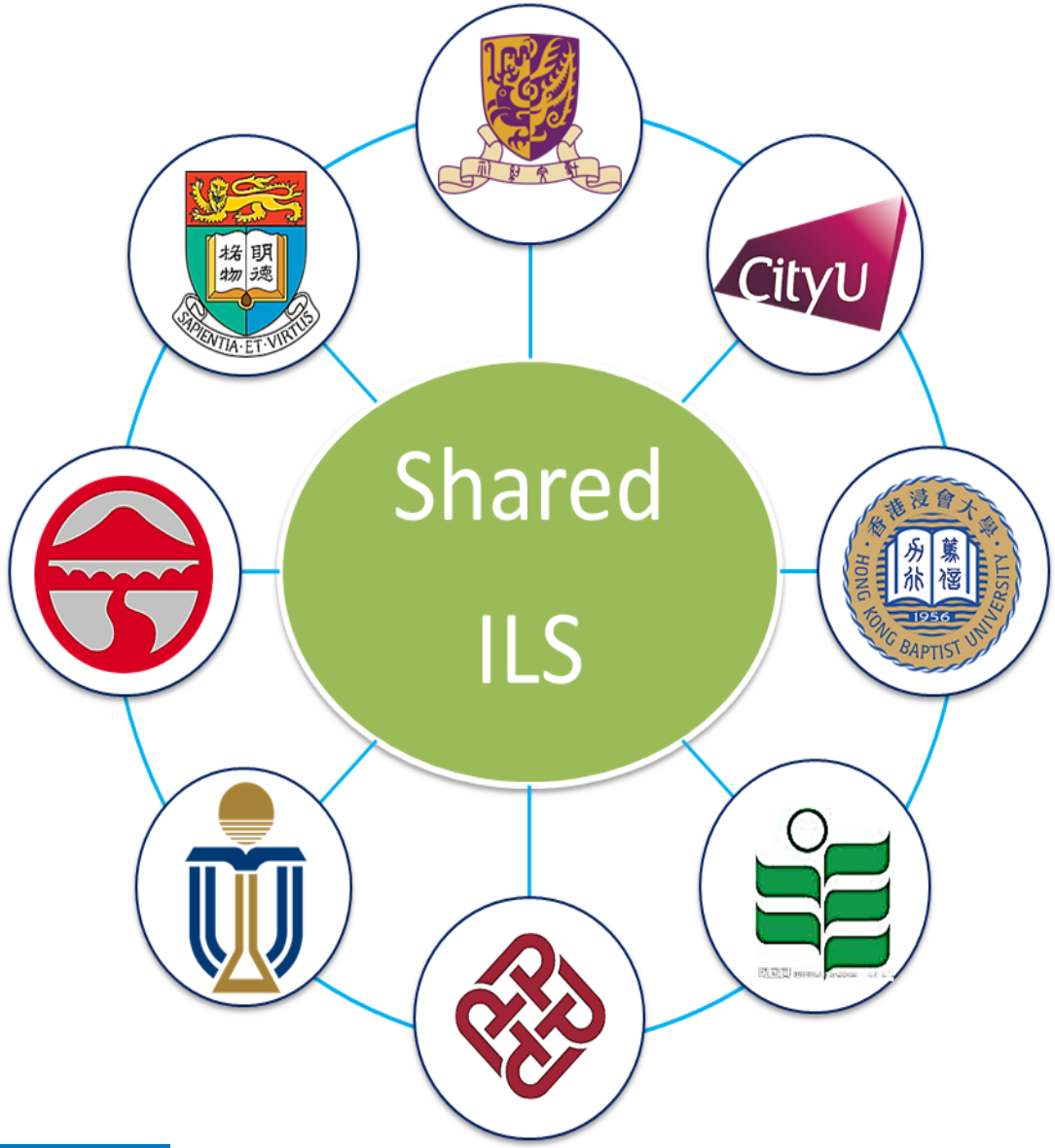
JULAC

Moving from this:



JULAC

To this:



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Goal 2: Strengthen Shared Staff Development Programs

- Association of College & Research Library (ACRL) Immersion Program Curriculum on Information Literacy: Teacher and Program Tracks
- UIUC GSLIS - HKU Data Curation Spring Institute
- Capacity Building Program for Librarians for *Enhancing Information Literacy in Hong Kong Higher Education* (UGC-TDG Grant) - ACRL
- Annual staff forums

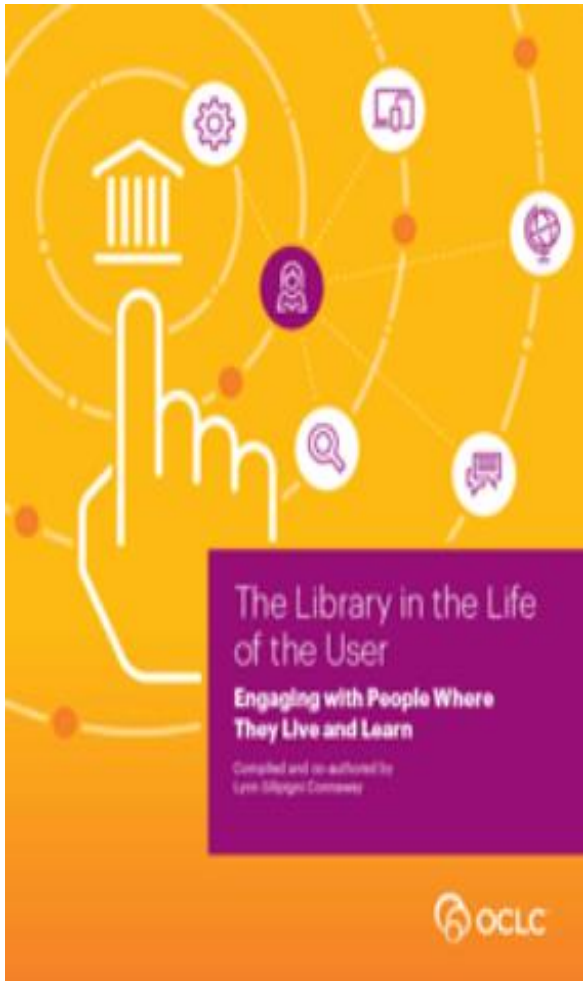
JULAC

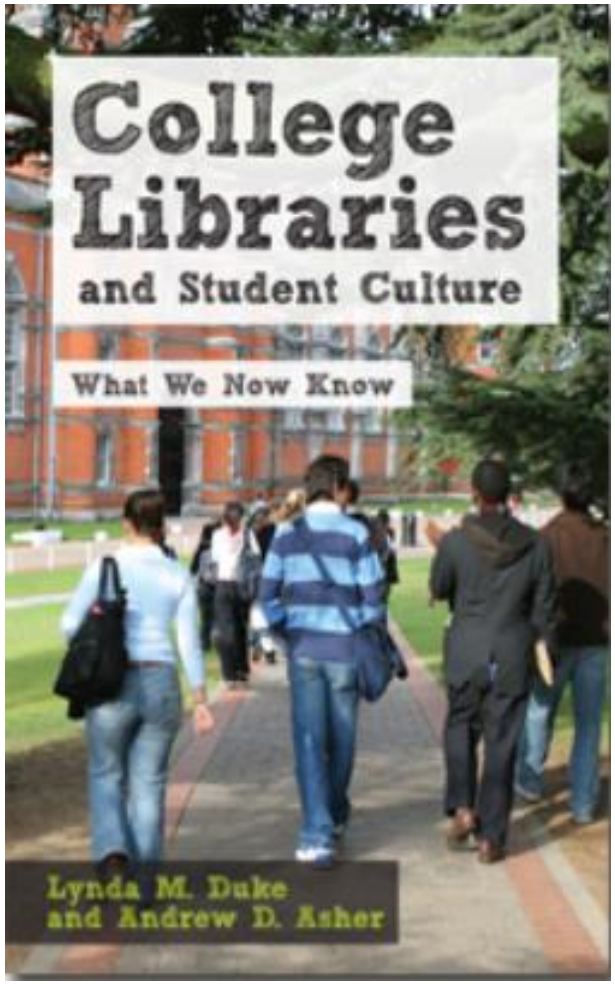
Goal 3: Enhance Information Literacy

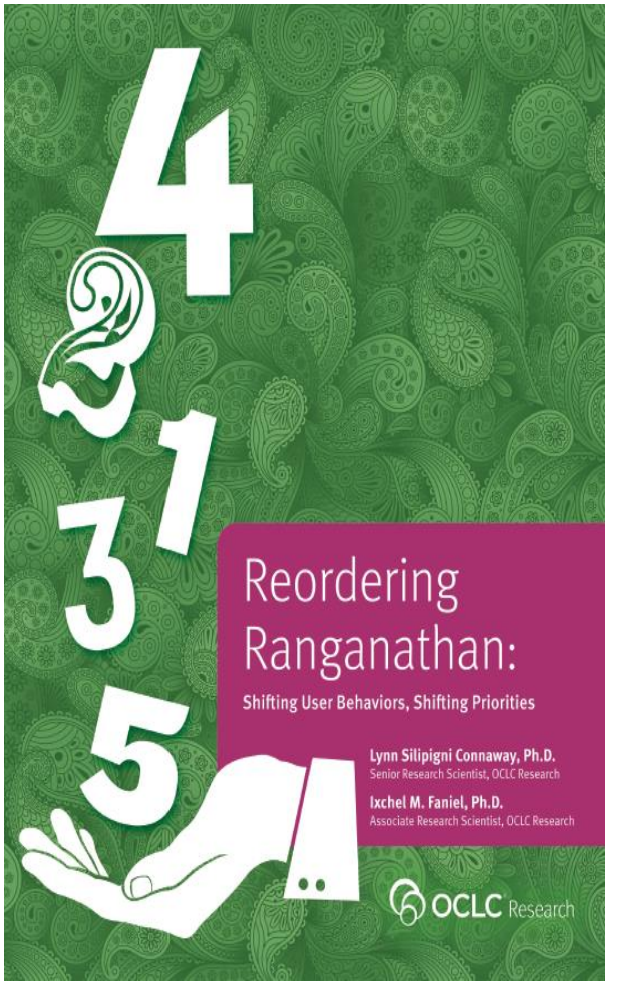
Develop and share tools;

- Explore and implement common assessment;
- Conduct a research study to investigate users' information behaviors

JULAC







A comprehensive study is needed to understand student information seeking behaviours to assess local information literacy needs in Hong Kong.

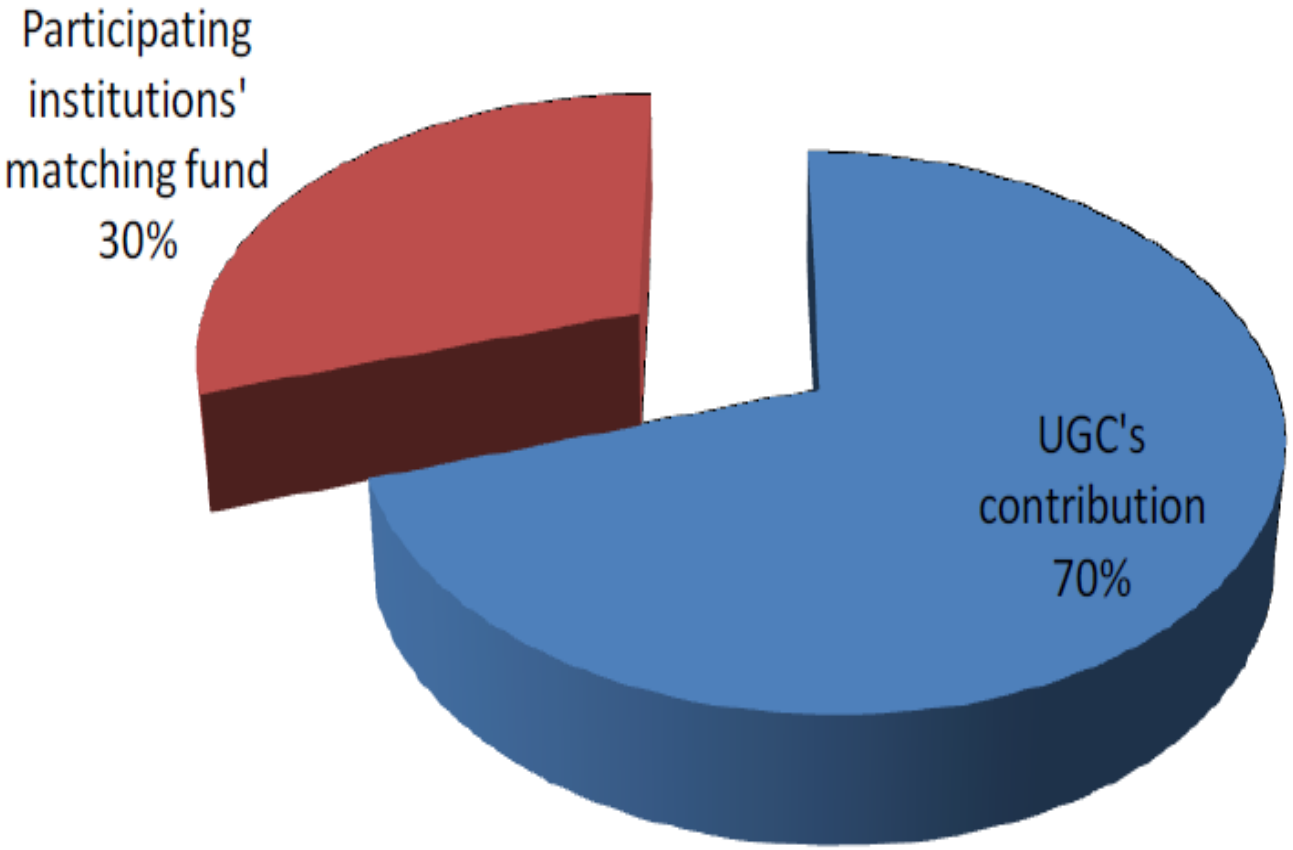
JULAC

Teaching and Learning Grant Project (UGC):

Enhancing information literacy in Hong Kong higher education through the development and implementation of shared interactive multimedia courseware.

JULAC

HK$6.2m (US$0.8m)



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Key Deliverables

- A knowledge base on the information behaviours of students
- An interactive multimedia IL courseware addressing the local IL educational needs
- An IL self-assessment tool
- Training for librarians in embedding IL into the university curricula
- Embedding IL into curricula with the “Course enhancement Funds”

JULAC

Deep collaboration?

- Clear, shared vision
- Engagement, time, and goal alignment
- Responsibility, risk, and commitment
- Optimization of information and **staff resources**
- Imagination and perseverance
- **Adapt and change** as process evolves and deepens
- Negotiation and compromise
- Shared power and decisions.

Horton (2013)

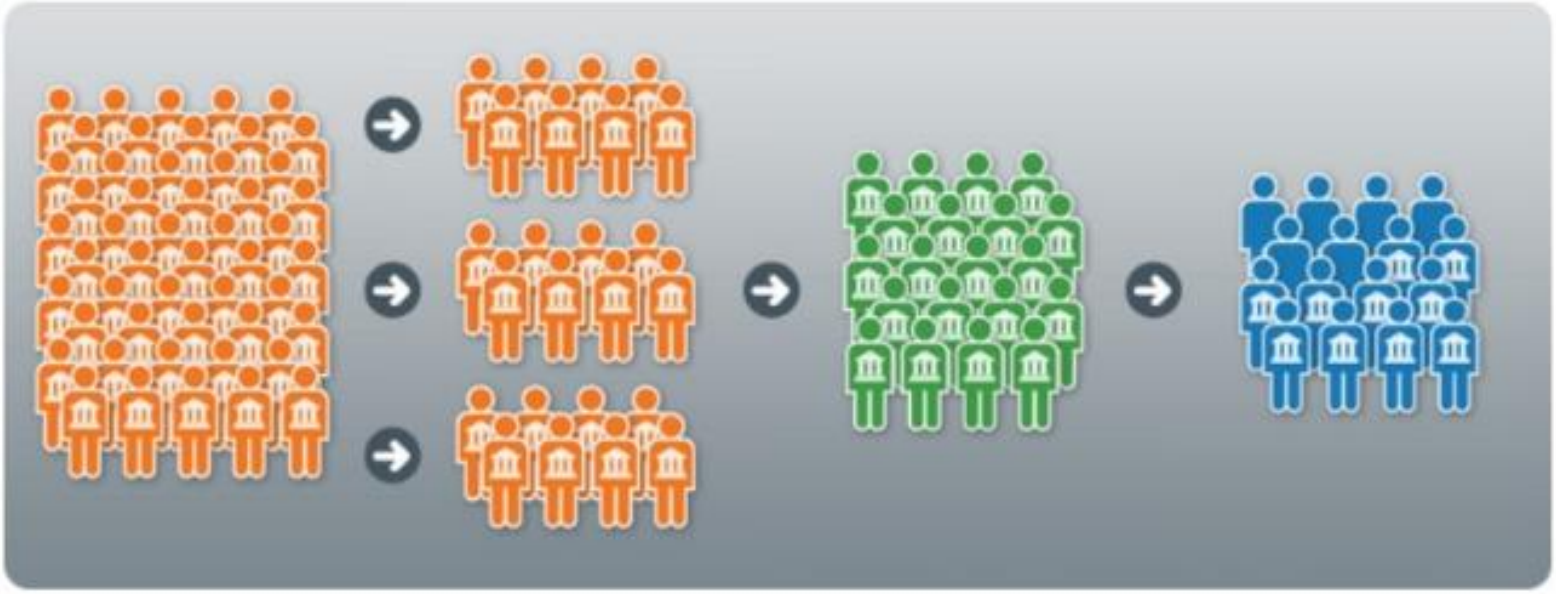
E2. Library consortia planning: OCLC Case Study

- OCLC is a global library cooperative that provides shared technology services, original research and community programs for its membership and the library community at large.

Governance

- OCLC operates under principles and systems of shared governance across several groups: Global and Regional Councils, the Board of Trustees, and the OCLC Executive Management Team.
- Our members guide the development of OCLC's programs, policies, strategy and services.
    - https://www.oclc.org/about/leadership.en.html#slt

Governance



Members

25,900 + institutions

Any library, museum or archive that embraces the OCLC values of collaboration and sharing is welcome.

Regional Councils

3 councils

Members from each region elect an Executive Committee, plus Member Delegates to OCLC Global Council.

Global Council

48 members

Global Council Member Delegates elect 6 members of the Board of Trustees.

Board of Trustees

16 members

In addition to the 6 Global Council-elected members, the Board consists of the President of OCLC and nine trustees elected by the Board itself, five of whom come from fields outside librarianship.

Sharing knowledge

Connecting users

Delivering value

Transforming spaces

F. Conclusion

Final words

- Planning at the individual library level is essential for the future success of libraries
- Library consortia are critical to the future success of libraries
- Library consortia planning improve the effectiveness of consortial goals
- Deeper (more radical) library collaboration will require greater planning and flexibility by members.

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