Effective Planning for Academic Libraries and their Consortia

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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. Making things happen that may not happen. Attempting to control the future. A process of logical decision making.
Why care?

“What can we do as academic librarians to better prepare ourselves for what is certainly an uncertain future? We just have to think more entrepreneurially and look for these opportunities.”

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

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

Yogi Berra

opportunites.
B. Types of planning
Types of Planning

Strategic Planning
- Mission
- Constituents
- Vision
- Core Values
- Environment
- Critical Issues
- Goals
- Strategies

Fundraising Planning
- Based on Strategic Plan
- Could include Capital Plan

Operational Planning
- Shorter term plans for units of the institution
- Based on Strategic Plan

Master Planning
- Long Term Planning for Space and Facilities
- Based on Strategic Plan

Budget Planning
- Long or Short Term
- Based on Strategic or Operational Plan
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.
The Scholarship Environment

- Environmental
- Political
- Legal
- Economical
- Societal
- Technological

Your Library

PESTLE
Strategic planning elements

- Mission
- Vision
- Goals
- Objectives
- Actions, change & innovation
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
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*.”

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)).
<table>
<thead>
<tr>
<th>Survey</th>
<th>Ranking</th>
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<tbody>
<tr>
<td>IMD World Competitiveness Yearbook 2014</td>
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<tr>
<td>WSJ/Heritage Foundation Index of Economic Freedom 2014</td>
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<tr>
<td>CBRE Prime Office Occupancy Costs Survey 2015</td>
<td>2</td>
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<td>Economist Intelligence Unit Liveability Index 2012</td>
<td>1</td>
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<td>Financial Development Index 2012</td>
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<td>World Bank ease of doing business survey 2014</td>
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<td>UNODC Intentional Homicide 2012</td>
<td>6</td>
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<td>WHO Infant mortality 2005-10</td>
<td>1</td>
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<td>WHO life expectancy 2005-10</td>
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<td>Skytrax, World Airlines Awards</td>
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<td>UN Human Development Index 2013</td>
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<td>378 (of 378)</td>
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<td>ECA International survey on most expensive locations for a three-bedroom apartment 2014</td>
<td>1</td>
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<tr>
<td>The Economist Intelligence Unit – Democracy Index</td>
<td>63</td>
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</tbody>
</table>
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)
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 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/
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.
HKUL Annual Planning Cycle

1. Environmental Scanning (PETS, SWOT)
2. Analysis & Selection of Objectives
3. Establishing Project Teams, Outcomes, Timelines, Budgets
4. Investigations
5. Recommendations
6. Implementation & Service Modification
7. Evaluation & Reporting

Planning Day
### OP Ideas for 2016/17 Strategic Plan

**Division:**

<table>
<thead>
<tr>
<th>HKUL Key Objectives</th>
<th>OP Ideas</th>
<th>Implemented in</th>
<th>Remarks</th>
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<tr>
<td>Ensure access to a rich and diverse base of resources that serve to enhance the University’s endeavours</td>
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<td>Provide services that support the full range of the University’s activities and facilitate user independence</td>
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<td>Engage the broader community in programmes and collaborative initiatives that complement University priorities</td>
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<td>Nurture an organizational culture that equips staff with the skills required to support a dynamic research library in a rapidly changing environment</td>
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**Note:** Kindly send your return to Marine by 9 May 2016
## 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:**

<table>
<thead>
<tr>
<th>Name</th>
<th>Role</th>
<th>OP Responsibility</th>
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Does this OP require support from:

- [ ] Administrative Services  □ No  □ Yes, please specify:
- [ ] 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
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 ensure are met.
Create a database for inaugural Hong Kong newspapers.

Services
Review Level 3 services, equip usage and recommend improvements.
Enhance support to meet the needs of postgraduates and researchers.
Participate in the UGC-funded programme enhancing information literacy education through the development and implementation of shared inter-curricular courseware.

Environments
Revamp the library webpage to enhance user 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 promises 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.”

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
• 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.
• 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

- Access Services
- Biblio graphic
- Conserv ation
- Consortiall
- Media
- Copyright
- JURA
- Learning Strategies
- Staff Develop
- Systems
Total Volumes 2014/15

CUHK  CityU  HKBU  HKIEd  PolyU  HKUST  LU  HKU

Print Volumes

Ebooks
E-Books VS Print Expenditure

*CUHK, LU – 2013/14 data used for 2014/15
https://library.ust.hk/cgi-bin/julac/
E-Books vs. Print Acquisition

![Bar Chart]

- **Print Books**
  - 2008/09
  - 2009/10
  - 2010/11
  - 2011/12
  - 2012/13
  - 2013/14

- **E-Books**
  - 2008/09
  - 2009/10
  - 2010/11
  - 2011/12
  - 2012/13
  - 2013/14
  - 2014/15
Circulation

45% decline in 10 years
Interlending

311% increase over 5 years

43.6% decrease over 5 years

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

• Joint purchasing/licensing
  – Databases
  – ejournals
  – Monographs
  – Joint PDA, etc

• Sharing
  – Unmediated ILL
  – DD through RAPID
  – Walk in, etc
The HK collective collection: JURA and the distributed collection.
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)
Monograph duplication in JULAC

- 73%: 1 Library
- 14%: 2 Library
- 6%: 3 Library
- 2%: 4 Library
- 1%: 5 Library
- 1%: 6 Library
- 1%: 7+ Library

Total titles = 10,516,684
Distributed single copy print collection

• Interim, awaiting JURA
• Starting with journals
• MoU
• Distributed responsibility
Explore the possibility of a new ILS

• Shared ILS
• Joint tender and demonstrations concluded
• Tender analysis underway
• Decision: Pending vendor negotiation
Moving from this:
Shared ILS
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
Goal 3: Enhance Information Literacy

Develop and share tools;

- Explore and implement common assessment;
- Conduct a research study to investigate users’ information behaviors
A comprehensive study is needed to understand student information seeking behaviours to assess local information literacy needs in Hong Kong.
Teaching and Learning Grant Project (UGC):

Enhancing information literacy in Hong Kong higher education through the development and implementation of shared interactive multimedia courseware.
HK$6.2m (US$0.8m)

- Participating institutions' matching fund: 30%
- UGC's contribution: 70%
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”
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

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.

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


