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ABSTRACT

The purpose of this report is to describe, chronicle and evaluate for the academic library community at large the Cornell University long-range planning effort. Planning effort is the phrase now used by Cornell librarians to describe their recent and continuing experience in developing a planning team, a dynamic long-range strategic plan, participative management, and the planning process itself. The three-way association between Cornell University Libraries, the Council on Library Resources, which provided the financial resources, and the American Management Association which provided the expertise makes this planning effort unique and of interest to other libraries. This unique planning effort is described and evaluated in this volume. (Author/SJ)

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**DEVELOPMENT OF A LONG-RANGE STRATEGIC PLAN
FOR A UNIVERSITY LIBRARY**

**The Cornell Experience: Chronicle
and Evaluation of the First Year's Effort**

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Ithaca, N. Y.

February, 1973

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I wish to express my thanks to Dr. David Kaser for the opportunity and privilege of observing the Cornell University Library Planning Effort. Dr. Kaser's original charge to me as an "impartial but experienced university library manager" was to "observe, record, interpret and evaluate" the effort in any way I saw fit. The only restriction asked of me was that I would not contribute to nor judge the planning documents. This I readily agreed to. If such judgments have slipped into my report, I hope they will not negate my impartiality. Aside from this restriction, I had complete freedom to write the report and to make whatever judgments I chose.

I wish also to thank Mr. John Avis, the AMA Team Director, for the contribution of AM^A references and the team process documents and for other professional contributions.

David Sellers, the Cornell University Library Planning Officer and member of the Planning Team, provided necessary documents and kept me informed of developments throughout the year. The Team itself gave me many insights.

Dr. Peter Dickinson, Assistant Professor of Statistics, University of Southwestern Louisiana, provided assistance in the interpretation of the survey of the Cornell staff.

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I. INTRODUCTION

A. PURPOSE AND OBJECTIVES OF THE PROJECT AS DESCRIBED IN THE ORIGINAL PROPOSAL.

The purpose of this report is to describe, chronicle and evaluate for the academic library community at large the Cornell University Library long-range planning effort. "Planning effort" is the phrase now used by Cornell librarians to describe their recent and continuing experience in developing (1) a planning team, (2) a dynamic long-range strategic plan, (3) participative management, and (4) the planning process itself.

Why should this Cornell experience be of interest to other libraries? Not simply because Cornell has planned. Planning as described and reviewed by Kemper¹ ("planning deals not with future decisions but with the futurity of present decisions") is not unique to Cornell. Other major libraries have put considerable effort into developing long-range plans tied into problem management practice.

Those efforts have been surveyed elsewhere and will not be reviewed here, nor will the literature on planning and organization in libraries be reviewed. Suffice it to note a few key publications. Much activity has been inspired by the Booz, Allen and Hamilton study,² which stated so eloquently the need for planning and management studies in university libraries. A more recent review by Edward G. Holley³ on organization and administration

mentions several key developments along this line--notably the Columbia study on staff organization and the University of California Los Angeles experience. David Kaser lists the experience of several other libraries in his Development of a Long-range Strategic Plan for a University Library,⁴ the original proposal document behind the Cornell effort (see Appendix A). And a search of the literature will turn up several dissertations, notably that by Marchant.⁵ The significance of these developments is the recognition that American management know-how is remarkably advanced and that this know-how can be applied to libraries as readily as it has been to business.

It was this recognition that led Dr. Kaser, a library director with considerable prior experience and background in planning, to believe that, if Cornell University Libraries were to continue as a viable and dynamic organization, then the principles of modern management must prevail in that organization, and the assistance of outside management expertise would be necessary.

Cornell University Library, though typically organized, has long enjoyed the reputation as a leader among major libraries in the U.S. A decision to change the organization was not an admission of weakness, rather a further claim to leadership. "The climate for change is good," says Dr. Kaser, and undoubtedly this climate encouraged his formal proposal that Cornell University Libraries

attempt to develop a socially useful product in the form of a truly meaningful and effective long-range strategic plan for a university library,

and attempt

to bring the best possible combination of circumstances and resources to bear upon the need for long-range planning in university libraries, to learn if a research library can under optimum conditions indeed accomplish a long-range plan, and if so what its nature and impact upon library services and operations can be.⁶

"The best possible combination of circumstances and resources" were described as a "three-way partnership" between Cornell University Libraries, the Council on Library Resources, which would provide the financial resources, and the American Management Association which would provide the expertise and the physical facilities. This three-way association, and the special circumstances or "optimum conditions" created thereby, are what make the effort unique and of interest to other libraries.

The description and chronicle of the planning effort will be straightforward and will include AMA's contribution, the setting of their physical facilities, an outline of their planning model, and the context of the effort within that model.

The evaluation will be from two viewpoints. The first will be my own as an outsider who sat in on the entire Team planning process. My evaluation will be confined primarily to the process and its implications. I will make no attempt to evaluate the contents of Cornell Libraries' Strategic Plan (see Appendix C, Planning Documents), which is in effect their own present and continuing work program, other than to call attention to the hypothetical nature

of some components, nor will I attempt to evaluate the long-range effectiveness of the plan since one is intended after the plan has been operating for two or three years.

The second viewpoint will be that of the Cornell Library staff itself, as determined through a statistical survey, in which the staff's present assessment of the two major objectives of the planning effort was evaluated:

- (1) to develop a socially useful product in the form of a truly meaningful and effective long-range plan;
- (2) to weld the executive officers and elected members of the Cornell University Planning Team (CULPT) into an effective and unified planning team.

The results of this survey will be briefly summarized in this report, and will be more fully discussed in a separate report.

One of the major tenets in modern planning is that it continues. It was once believed that planning should be episodic. One drew up a plan, carried it out, then drew up another, carried it out, and so on. Now management realizes that new information, competition, social and cultural events and a great many other variables may affect the priorities of original objectives. These variables must be incorporated into the planning process; otherwise, the plan may not be viable.

It should be noted that although the original Cornell proposal did indeed think in terms of the "planning process," it thought also in terms of "accomplishing a long-range strategic plan." As the project proceeded, the participants came more and more to realize that the process was every bit as

important as the plan. Toward the end of the first year they began to refer more frequently to "the planning effort" and less frequently to "the plan."

Appropriately then my principle interest should be in a description of that effort, or process, secondly in how well it went, and thirdly in its implications for the library profession.

B. GENERAL DESCRIPTION AND OUTLINE OF THE METHOD AND PROCESS.

1. Cornell University Library's Contract with the AMA.

In modern management theory there is no single universally accepted planning procedure, vocabulary or model. There are several competing models, any of which might have been used at Cornell--such as the CIPP model (acronym for Contact, Input, Process and Product evaluation) developed at the Ohio State University Evaluation Center.⁷

Of the several programs available, that offered by the American Management Association was chosen for its wide reputation, its facilities, and extensive experience in guiding corporations, agencies and associations through the planning process, and because of the belief that the planning process is the same no matter what the type of organization. AMA had never worked with a library though it had worked with educational organizations. That libraries and educational organizations do not engage in the manufacture of specific and tangible products as corporations do, nor are in the profit-making business

in the ordinary sense, was not considered a relevant question either by Cornell or AMA.

Under the contract with Cornell, AMA conducts two full one-week working sessions in its Team Planning Process Program at the AMA's Center for Planning and Implementation at Hamilton, New York. AMA provides the living quarters, meals and recreation, the seminar facilities and, of course, their own in-house consultant--The Team Director, the center's staff and other expertise. The two one-week sessions are conducted some weeks or months apart with the Team Director remaining available for consultation throughout the process. According to an AMA brochure, the team planning process

takes the Chief Executive and his team away from their daily jobs. So they're able to concentrate on developing their planning skills--in an environment conducive to intensive study and solution of problems.⁸

The Team Director for Cornell was Jack Avis, a permanent staff member of the Planning and Implementation Center. It was his job to guide the Team "every step of the way through a logical planning procedure."

2. The AMA discussion format.

a. The Setting.

The AMA Center for Planning and Implementation is housed in a colonial style building reminiscent of Wren Baroque and would be taken for a small liberal arts college administration or classroom building, were it not

for a few obvious signs and symbols--an high-fashion dining room, "The Chandelier Room," with antiques and blue carpet not used except on special occasions and as a corridor from the outside, a ubiquitous eagle, and the AMA flag on a simulated yardarm just under the American flag. It is located in a rural setting near Lake Moraine in Hamilton, N. Y. Their own airstrip, nearby but not visible from the Center, is used in good weather to fly in corporate teams from all over the country. Naturally, AMA has its own jet--two of them.

Clients are quartered in comfortable cabins in the AMA Grove, about a mile from the Center's main building. The Grove is just that, a grove of very tall firs, and possibly virgin maples--certainly picturesque and obviously chosen to deemphasize the hectic world of business and to suggest a woodland vacation resort. In the White Eagle Lodge in the center of the Grove, rich meals are served in an informal atmosphere, but always with strict adherence to the tradition of standing at table and waiting for a gong signalling ten or twenty seconds of silence before sitting. Conventional recreational facilities--bowling, pool, table tennis, and the inevitable free bar--in the Tepee, a wooden building nestled among the maples and the cabins, are open before the evening meal and after the evening sessions. Last one out--no hours specified--douses the lights. Though anyone who partook of late hours was less the wise the next day, for the wake up phone call at 7:00 a. m. was incessant. The seminar schedule ran through the morning, afternoon and evening until 9:30 p. m. when the group was dog tired and usually talked out, though some revived sufficiently in the recreation center for another round.

The Center's activities are year round, with one or more groups scheduled nearly every week of the year. During Cornell's two sessions in February and December, there was just enough snow and just enough cold to provide just the right stimulation for the one-mile walk each morning, noon and evening, for those who did, over the back road and through the community of restored nineteenth century buildings in the Americana Village.

If there was a setting where busy and highly charged professionals could "relax and wax philosophical" without distractions, then AMA had chosen well. The participants were not always relaxed, however. AMA's discussion outline called for facing up to some difficult questions. And the Seminar Rooms were designed acoustically and physically--each person seated at the long, arcing table, with the Chief Executive in the center--so that everyone was within excellent hearing distance and had a clear view of everyone else. The seminar room was well-equipped with modern audio-visual equipment--projectors, screens, an electronic control panel at the Team Director's seat, and brown chalk boards with tack-on instructional signs for the typist who sometimes observed through one-way glass in a room behind the seminar. The setting facilitated confrontation with the issues and with each other.

All of this is not cheap. AMA's brochure states that the fee for the two week team process seminar is \$10,000.

b. AMA's Outline for the Long-Range Planning Process.

AMA's team planning process was developed from insights gained from management science in general, and from experiments "with new learning techniques, with new teaching techniques, with some old techniques, with case studies, with simulation, with games" conducted by the American Foundation of Management Research, an AMA affiliate. The result, implemented in 1966, was "an action-oriented, problem-solving technique for the practicing manager."⁹ Descriptions of the process are available in brochures from the Center (see Appendix B). And the experience has been described in print by those who have used it.¹⁰ David Kaser has also described the process.¹¹

In the course of the two one-week sessions, the Team Director guides the team through the STRUCTURE OF A PLAN. Since this structure has been more formally presented in several AMA documents (see Appendix B), I will try to present it here in a context more meaningful to libraries, although it should be understood as being applicable to any organization. In a later part of this report, the output of Cornell will be presented within the general context of the structure.

Characteristics of AMA's planning process are the phrases "team process" and "hierarchy of objectives." Complex planning is obviously not a one-man job and is better done by a team. Once the team agrees on what the main purpose of the organization is all about (the main objective), then all the other objectives hopefully fall into place.

The working outline follows a definite schedule throughout the first week, and somewhat less definite during the interim period and the second week some months later (see Appendix B).

The following abbreviated outline is graphic and to the point. The team addresses itself to these questions which they discover to be very difficult.

THE STRUCTURE OF A PLAN

	AMA	Observer's Comments
<u>What are We?</u>		
MISSION OR PURPOSE	"The broadest most comprehensive statement that can be made about central or continuing purpose. The chief function or responsibility of an organization which justified continuing support of the organization by society and which provides initial direction for the management or administration of the organization. The purpose of the mission statement is to provide a focus for the resources of the organization."	This might seem an unnecessary exercise, since everyone knows what a library is and what it is trying to do. Or do they? The question generated the longest debate of the first week--fully a whole day--a sign perhaps that the group had never before discussed it among themselves. There were some surprises.

	AMA	Observer's Comments
BELIEFS:	"Statement of the organizational philosophy regarding matters of 'belief' and/or the code of ethics which govern the actions of the organizations. Sometimes referred to as Creed."	Discussion of beliefs can generate a great many testable assumptions (see Appendix E). Theoretically, Beliefs are subsumed under the Mission Statement, and should logically follow. One should be able to induce the mission statement from these. In the Cornell planning documents they are called Guiding Principles.
BASIC POLICIES:	"General statement or understandings which guide and channel the thinking, decisions and actions of management toward the achievement of organizational objectives."	These are general, not operational policies.
ORGANIZATIONAL PERSONALITY	"The unique collective personality of an organization corresponding to an individual personality."	AMA administers a standard questionnaire intended to assess the team's and the staff's collective position on Theory Y (self-actualization) vs. Theory X (authoritarian) concepts of leadership. Other statistical data of past performance if available is reviewed. (Likert profile was also administered to Cornell Library in 1969.)

AMA

Observer's Comments

Where are We?

- | | | |
|--|---|--|
| STRENGTHS: | "Characteristics or resources of the organization which provide a definite competitive advantage. May imply an opportunity for exploitation beyond the present level of use." | This is a useful exercise. Strengths account for pride and if the list is larger than the list of weaknesses, then morale must be at an acceptable level. The question might be asked, of course, "According to whose standards?" and "by agreement? or by measurement?" |
| WEAKNESSES: | "Characteristics or objectives of the organization which result in a present or potential competitive disadvantage. May imply a threat or possible further loss of competitive position." | Cornell's list is only slightly longer than its list of strengths. |
| OPERATING HISTORY OR INTERNAL ANALYSIS: | "Historical analysis of financial and operating data, including key measurements of performance and ratios, showing overall organizational performance." | Statistical data from Cornell's recent budget data was reviewed. But little time was spent on its interpretation, or on any attempt to extrapolate into the future. |
| ENVIRONMENTAL AFFECTS/ASSUMPTIONS | "The monitoring, evaluation and development of assumptions concerning those factors in the socio-economic, political, technological, and competitive environment which could have an impact on the enterprise, and over which the organization has little or no control." | This exercise is fruitful if there is confidence that the environmental variables identified will indeed affect. Otherwise, it is purely speculative. Smaller libraries seem to be more sensitive to and affected by outside forces. |

AMA

Observer's Comments

Where are we going?

This question is the substance of the plan. The answers should give direction to the process.

CONTINUING
OBJECTIVES

"Qualitative or quantitative statements of continuing interest of the organization which describe what results the enterprise wants to achieve and what it wants to become."

Objectives are subsumed under and consistent with Basic Policies. It is unlikely that this requirement will ever be put to a rigid logical test in libraries. A logician would delight in finding inconsistencies here. It would take an astute team to avoid them.

SPECIFIC
OBJECTIVES

"Explicit quantitative statements, consistent with continuing objectives which specify the results to be achieved at a definite point in time and can be measured in terms of accomplishment."

If the mission statement is a discovery or revelation to the planning team, then the specific objectives will be a completely new or revised line of products or activities. If not, then the specific objectives can become merely a catalog of what the library is already doing. On summary, the team must ask itself, "have we come up with anything new?" Those organizations for which success of the process has been highly touted can usually boast of a change in direction--either toward expansion (of products, or activities) or a streamlining and elimination of products, along with a good grasp of how they intend to do it.

AMA

Observer's Comments

How are we going to get there?

This question requires the most creative and imaginative thinking. The whole project may stand or fall on what the Team comes up with here. It may be the most difficult of all. On the other hand if the Team has done a good job in defining and agreeing on what it wants to do, the answers will readily fall into place.

STRATEGIES: "The broadly stated means of deploying resources to attain organizational objectives." And "Strategizing offers the greatest opportunity for creativity. Several alternatives should be developed and evaluated in a cost/benefit analysis before a final strategic decision is made."

Good strategy will depend heavily on how decisions are made within the organization. A re-definition of or a full acceptance of the decision-making process must be either a by-product or a major product of the team planning process. This question involved the Cornell Team to the point of near exhaustion and despair on several occasions, but they rallied.

ACTION PROGRAMS: "The breakdown of a major strategy into manageable areas of activity. Each strategic program is supported by an analysis of its contribution to the objective, and the resources required for its implementations."

This, of course, should be the most detailed of all the planning documents. The time allotted in the two one-week planning sessions permits only a draft of the broad outlines, however, so the details must be worked out in the shop at home.

AMA

Observer's Comments

When are we going to get there?

OVERALL
TIMETABLES

Short and long-range schedules, as well as a calendar of due dates for completing assignments and following the planning procedure.

Who is going to do what?

The obvious capping of the planning process. No objectives, continuing or specific, will be achieved without responsibilities being assigned and accepted.

The foregoing STRUCTURE OF A PLAN is a simplified version of a more formal outline (see Appendix B). There is also a working outline which is more detailed; it is actually a schedule (see Appendix B), within which the team director attempts to keep the team moving. Each item on the schedule is itself an objective, the attainment of which provides incentive to keep moving. Keeping on schedule, however, is not the major objective. The schedule (but not necessarily the sequence) will be sacrificed if any particular item has not been attained or proves difficult.

One could quarrel with the time AMA allotted to each category. The timetable is estimated from their experience with corporations, not librarians. Librarians, who have fretted about the unprofitable expenditures (in corporate terms) required to keep a library going, and who turn introspective when very

visible and sizeable segments of the university or public do not use the library, may very well upset that timetable, as perhaps they should.

AMA schedules, between the two one-week sessions, an interim period of 4-6 months. Cornell's own schedule stretched out the interim period to ten months. The intersession is intended to allow time to validate objectives, identify strategies, to provide data, documentation and backup, and in general to assess and even reassess what has been done, and to prepare for the next session. Cornell intended this time not only to refine and validate, but to inform the staff at home of developments, and then later to schedule meetings with the staff to solicit feedback from them. This intention is not explicit in the AMA schedule, and so must be regarded as the Team's own precaution, a bow to the traditions and atmosphere of academia. Opinion as to how well they did this varies. (See Part IV. A., Self-evaluation. For a discussion of the events during the interim period, see Part III. C.)

The final week in the outline hopefully wraps up the planning process, with a final review of objectives, establishing priorities and strategies, procedures for implementation, and for continuing the planning process. It might be noted here that AMA does not provide a time schedule for the second week. Perhaps wisely. By this time the Team has become so thoroughly familiar with what it has done, and what it needs to do that it can define its own schedule for the week's work. Indeed that is what the Cornell Team did. It knew it had some difficult questions to wrestle with. It dispatched the easy ones and stayed with the difficult ones until resolved, and still had more free time

during the second week than during the first. Whereas during the first week it opted not to break the schedule with a single afternoon or evening off, it did so during the second week, and was even able to leave a day early, the week's work done.

But with the adoption of a scheme for a continuing planning process, AMA's outline is open-ended with no termination. The last item in AMA's Planning Notebook is the Planning Schedule, "The schedule of events and required target dates necessary to insure that systematic, formal strategic planning will become an organizational 'way of life.' " This item was not neglected by the Cornell Team. On December 21, 1972, its last day at the Planning and Implementation Center, it listed "Things to do" and "Take Home Tasks." These most recent events and future schedule are listed in Part II, The Chronology.

Lastly, AMA's Team Director is available to provide assistance during the post planning process, three to six months after the second week as necessary.

C. THE CORNELL UNIVERSITY PLANNING TEAM.

1. How formed.

The AMA planning scheme provides for a Planning Team of up to twelve members with a minimum of six. Normally, a Team would be made up of the organization's executive staff. For Cornell the Director named six of his Executive Staff including himself to serve on the Planning Team.

At the outset, the Director and others thought that if participation in the planning process was an objective of the planning effort, there must be representation of the general staff which at Cornell Libraries included department heads, and non-administrative staff, often referred to as the "grass roots" in later planning sessions. These individuals must be elected if this function were to be best served. The Cornell Library staff had a parliamentary organization which they called the Librarians Assembly (now called the Academic Assembly) consisting of the entire executive staff, administrative staff (department heads) and grass roots librarians. Cornell librarians do not have faculty rank as such but do have the titles of Assistant Librarian, Senior Assistant Librarian, Associate Librarian and Librarian. From this body of 130 or more librarians, five were elected by the Librarians Assembly to serve on the Team. One of these has since become part of the executive staff.

"Grass roots" representation is not an AMA requirement. Cornell's inclusion of five elected members may be unique among those who have used AMA's team process. Indeed one company president said, "the only people who should be included in the group are the Corporate Planning Director and the Chief mistake-makers in the company--the Chief Executive and the key members of his staff who control all major decision making. If you include any others, it's a grave mistake." But the grass roots question, even when not openly expressed, was an ever present force that could not be ignored by the Cornell Team.

2. The members.

The following individuals made up the Cornell University Library Planning Team. These were the individuals which the Director hoped would become an effective and unified team. They were called the Advance Planning Team for the first few days of the effort and then simply the Planning Team.

a. Appointed.

David Kaser, Director of Libraries

Henry Edelman, Assistant Director for Development of Collections

Paul Eldridge, Personnel Officer

Henry Murphy, Assistant Director and Mann Librarian

Ryburn Ross, Assistant Director for Technical Services

David Sellers, Planning and Budget Officer

b. Elected.

Herbert Finch, Assistant Director for Special Collections

Eleanor Heishman, Head, Acquisitions Department

Betsy Ann Olive, Coordinator of Public Services

Caroline Spicer, Head, Reference Department

Elaine Walker, Head, Catalog Department

II. CHRONOLOGY OF THE MAJOR EVENTS AND DEVELOPMENTS

The following pertinent dates and events are listed to illustrate the number and kinds of meetings that took place, the span of time required to bring the meetings about, the difficulty of scheduling so many meetings by so many administrative units, the large amount of time spent in meetings, and milestones from early conception to the final drafting of documents.

It may be impossible to estimate accurately the total number of man-hours devoted to the project. But the count of man-hours spent in listed meetings alone must be upwards of 2500, or at least 1% of the total professional Cornell Library man-hours in a normal work year. To spend 2500 man-hours on a project not immediately addressed to production, a library may feel that it should be (1) prepared to justify and relate the project's results either directly to library production, or to library service, or (2) show that the goals of the project are more important than either production or service. On the other hand 1% of the annual total of man-hours is less than 20 hours per person. Since Cornell's project might be considered a pilot or demonstration project, or at least experimental, we should expect that such an all out effort might take a considerably greater percentage of time than an already proven procedure would.

1970:

July 1 Appointment of a full-time Planning and Budget Officer to CUL Staff.

1971:

spring and summer The experience and programs of several management consultant firms were reviewed.

summer David Sellers called McGraw-Hill and the Maryland State Department of Education, two organizations which had attended the AMA planning seminar to ascertain their assessment of it.

June David Kaser and David Sellers travel to Hamilton, N. Y., to inspect the seminar facilities of the American Management Association.

summer Proposal to the Council on Library Resources, the Development of a Long-Range Strategic Plan for a University Library.

fall Council on Library Resources makes grant to Cornell University Libraries.

1972:

Jan. 12 The AMA planning scheme is explained to the CU Librarians Assembly.

January Organizational profile questionnaire administered to the CUL Staff.

January Appointment of executive members of the Planning Team.

January Election by Librarians Assembly of five staff representatives to Planning Team.

February 1 Responses from organization profile returned to AMA.

1972:

- February 13-18 First week-long session by the CUL Planning Team at AMA Center for Planning and Implementation in Hamilton, N. Y.
- February 22 General results of the first planning session are explained in two special sessions to the CUL staff, one to the Administrative Staff, and the other to the Librarians Assembly.
- February 24 - March 6 Details of and documents from the first planning session are explained in a series of sixteen 1 1/2 hour meetings to the entire CUL staff. This was followed by hard-copy handouts department by department.
- March 8 The Planning Team meets briefly in the Director's Office.
- March 15 - April 19 Series of six one and one-half hour open hearings on the first Planning documents drafted at Hamilton, led by David Sellers. All persons connected with the CUL invited. Commentary from the staff was incorporated in subsequent drafts of the planning documents.
- April 26 The Planning Team meets briefly to plan a scheduled one-day meeting in Aurora, New York.
- June 6 Planning Team meets in Aurora, New York, to map out the tasks to be accomplished during the interim period prior to the next week-long retreat at the AMA Center.
- June 23 Series of four AMA films on planning and management shown to the entire CUL staff.
- August 21-25 David Kaser and David Sellers visit the Cambridge University Library Management Research Unit, Cambridge, England, and the University of Lancaster Library, Lancaster, England, to ascertain how the management research of these institutions might relate to the Cornell University Library Planning Effort.
- October 12 Planning Team meets at the Sheraton Motor Inn, Ithaca, New York. Results: subcommittee of the Team assigned the responsibility of editing all planning material originating with the general staff; David Sellers to devote full time to the planning process; David Sellers assigned the job of developing a procedure for continuing the planning process.

1972:

- October 15 - December 8 David Sellers holds two four-hour sessions per week with three representatives of the Library (a department head, a statutory librarian, and a branch librarian) to draw up a procedure for continuing the planning process.
- December 11 An informal group of sixteen or seventeen "National Planning and Budgeting Officers" from ARL libraries meet at Cornell University Library to learn about the CUL Planning Effort. David Kaser, David Sellers, Betsy Ann Olive and Glynn Evans give talks. Duane Webster of the ARL Management Research Office is the coordinator of this meeting.
- December 18-21 Planning Team at AMA Center for Planning and Implementation in Hamilton, New York.

III. CORNELL LIBRARY'S PLANNING EFFORT

MAJOR EMPHASES AND OBSERVATIONS

Kemper's¹² outline for the major considerations in library planning is thoroughly consistent with that of AMA's. Since his article is written entirely within the library context, and is subtitled, "The Challenge of Change," Cornell's effort might be regarded as taking up the challenge. Kemper challenges; Kaser responds. Cornell's effort then not only fits AMA's model, it is also a case study of Kemper's outline for library planning. In the following discussion of the planning effort AMA's outline will be approximately followed, while at the same time some of the considerations raised by Kemper,

What planning is not: library standards; forecasting; future decisions; bound documents;

significance of planning: gives direction to growth and complexity; minimizes ad hoc decisions; provides basic framework for local service; opens communications channels;

characteristics of a planning program: plans that cover all aspects of the organization; functionally related to administrative and operational plans; designated responsibility; a dynamic planning system; criteria for measurement of output,

though not explicitly addressed^d should be kept in mind by the reader.

A. THE FIRST MEETING WITH CORNELL LIBRARY AND AMA.

Cornell Library's introduction to AMA was at one of their Librarians Assembly meetings to which one of AMA's top staff, Mr. David H. Jacquith,

an AMA committee member and chairman of the board of Vega Industries, was specially invited to speak. Mr. Jacquith's executive poise and composure must surely be an AMA trademark. This might have been a toastmaster speaking, for his low key, no-notes manner, good voice, and eye contact allowed no mistakes. He revealed information about management slowly and methodically so that the group barely knew they were getting it. Key points were highlighted by large cardboard signs which he easily handled and hung ingeniously on an easel. He both amused and chastised his audience with such phrases as "some watch things happen, some make things happen and some don't know what's happening," and "you have to decide whether you want to be a consultative, participatory or an autocratic manager, or an active or passive manager." Which he meant his audience to be was quite apparent.

Questions from the Assembly indicated considerable interest in management problems, and though a few were well-formulated, others would certainly support our own admission that we librarians know more about manuscripts than management. Even so, Jacquith's answers were highly informative while somehow transforming a bad question into something important. One speculates that Jacquith must have been a good manager, and that good management despite the formality is merely good psychology. "Planning is the rational determination of where you are, and where you want to go." And "the mark of a pro is: he thinks before he acts; an amateur reacts." And "a director of planning mediates disputes, sets priorities; does not do the planning, does not coordinate subordinates--but gets them to do their own planning and to coordinate themselves."

Jacquith spoke at length in the vocabulary which was to become so familiar: objectives, strategies, assumptions, control, functions, review, evaluation:

We discover very slowly that managers who try to run things (which is what they were hired for) are those most criticized, while those who plan (according to the principles) are the least criticized.

In university libraries, there are problems common to all-- non-availability of books, slow cataloging, restrictive circulation policies--that are universally laid to mismanagement by faculty and students. It's true--it is mismanagement (if we accept the new philosophy) but it is not incompetence, because the same mistakes are made in every university library and these mistakes are made systematically and predictably. If management mistakes are common to every library (in terms of the same faulty service) perhaps certain common assumptions about management, organization, managerial style, library purpose, and function of the librarian are wrong.

Jacquith himself is the successful business management consultant and manager: tall, commanding, self-confident, plain speaking, deferential. Even with his warnings of pitfalls, warnings to be cautious (know what your chances are), one still feels that here is a man who believes he has answers, even though he says he does not; here is a man that people will work for; here is a man whose confidence breeds confidence. He is a man who seems to have risen above the pitfalls of profit making and who has acquired a perspective that says "we are not really in the business of making money. We are really in the business of making people happy, and in giving them a sense of purpose, and in putting

them to work with each other." He is not so much an administrator (a word he hates), not so much a manager (which he says he is), but more a minister, whose religious trappings are corporate psychology and whose message could well be "Now let us all be managers."

B. FIRST WEEK AT AMA PLANNING CENTER IN HAMILTON, NEW YORK.

The group of eleven Cornell Library Team members, Jack Avis, the Team Director, and the three observers Glynn Evans, Coordinator of Library Systems of the Five Associated University Libraries, Duane E. Webster, Director of the Association of Research Libraries' Office of University Library Management Studies, and the author of this report gathered at the AMA Grove on Sunday evening for a brief rundown of the week's schedule. The observers were non-participating and were specifically asked not to contribute.

No work was scheduled for the evening. The first morning was spent mostly in a review of the planning process, of events leading up to the planning effort and of University-wide plans for the future and other background information.

The whole idea of the first week, Jack Avis told the group, was to make a plan. But uppermost among David Kaser's priorities was to weld the Conferees into a team. He wanted to know whether the members of the Team could learn to work together. At this stage there were no signs of disunity, although Dr. Kaser acknowledged that some of the members were in sharp disagreement with

the effort and were openly critical. This disagreement would emerge as the day wore on, but at this early hour, the group was lively and charged with anticipation. There was much mirth and laughter. An amusing film on the science of management narrated by James L. Hayes, President of AMA, whom the group would later meet, contributed to the good spirits.

1. What we want to get from the Planning Process.

The first item on the schedule was to decide what they wanted to get from the planning process. "What's it all about?" someone asked. Another wanted to know why the group was spending a week here rather than taking care of the pile of problems on his desk. "I'm groping for a rationale," he said. (Kemper,¹³ incidentally, quotes some highly articulate rationale by librarians in opposition to planning, while Dr. Kaser¹⁴ cites faculty as a powerful anti-planning force.) Groping there was, but they did produce a list (Appendix C. 1.). Most of the items on this list would be articulated rather painlessly, though requiring much time and straightforward work. Developing the mission statement would reveal surprising disagreement but would be resolved relatively easily.

One of the week's objectives would generate much pain and distress and would reflect the sharp disagreement which Dr. Kaser wished to resolve. The problem would not be resolved until next to the last day of the second week, and even then there was still some "let's wait and see" caution as on the first day of a cease-fire. The objective in the planning process which proved to be so much

more difficult was: developing a rational structure for day-to-day operating decisions. More will be said on this later.

2. The Mission Statement.

Developing the organization's mission was only one of the six major items on Monday's schedule, yet the group devoted a full day to it. Jack Avis noted that normally a Team will dispose of this item in short order. Here are some samplings of the range of discussion:

- Finch: We should be serving more than just literature.
- Edelman: The library's job is more than just supplying the "right book in the right place at the right time."
- Edelman: Mission does not extend to total involvement in the supply of information in the total CU community.
- Ross: The University Catalog is for the use of the scholars of the world, not just a few Cornell scholars.
- Edelman: Passive librarianship is taking over more and more. We should be more active.
- Eldridge: Librarians are closer to the University Community than they have ever been.
- Edelman: The library [and the catalog] represents the world at large.
- Edelman: The biggest part of our activity is physical access to the collection; we ought to be more intellectual.

The debate began to gel with the question whether the library was involved in wisdom, knowledge or information. The group then enumerated a long list of

the types of media containing information, from books and films to broadsides and tickets.

One wondered whether the group was unwittingly thinking for the entire profession in trying to define the library's purpose. Indeed there was uncertainty over whether (1) the Library's mission should be defined in unique terms--i. e., different from other libraries in terms of originality of purpose and program, or (2) the mission of academic libraries in general should be defined. Examples by various large corporations offered as excellent statements of mission may have distracted them. Many examples made claim to some higher social purpose than the mere manufacture of goods. Aside from the issue of whether a corporation is a public service or profit making enterprise, is it helpful to make claim to a higher purpose than that of catering to a particular market, or of serving a particular clientele? Competitive organizations, despite their claims to community and national service, are nevertheless self-serving. Each corporation has its own distinct line of products and it should not take long to bring those products together under a unifying but unique mission statement. Should a library's mission statement make claim to a higher purpose than to serve its own clientele? It is an unknown library whose purpose is not

"to provide bibliographical, physical and intellectual access to recorded knowledge and information..."

It was late Monday evening when this was drafted and David Kaser said, "It's a damn good statement! Who would have thought that it would have taken 110 man-hours to come up with it?" They saw the generality of it, of course, and so

amended it with

"...consistent with the present and anticipated teaching and research responsibilities and concerns of Cornell University."

3. Beliefs, or Guiding Principles.

To assist the group in formulating statements of belief, Jack Avis again showed examples from various corporations. Content of the examples, of course, were useless, but there was some value in showing how they should fall in with the statement of mission. There was little difficulty, or at least little time spent, with this assignment, though there was some debate whether the Library owed its allegiance to the University (especially in regard to fiscal matters) or to the mission. It is unthinkable, of course, to conceive any library's mission to be at odds with the University's, and its beliefs therefore must be accountable to both. In the final list of Guiding Principles, there was little or no dissension.

4. Basic Policies.

Here again Jack Avis assisted the group with examples from corporations, and suggested that they think of broad areas to enumerate policy. The natural activities of the Library provided a starting framework. They were:

1. Organization and administration;
2. Collection development;

4. Public service;
5. Manpower utilization.

Later work added two more categories:

6. Management controls and analysis;
7. Facilities.

With this listing, some of the most intensive and difficult debate of the entire week began. The issues concerned the basic organization of the Library (centralization vs. decentralization) and administrative organization and responsibilities. Perhaps this debate would be best appreciated by reproducing some of it here. Resolution of at least the first item was crucial to further progress, since it bore on a later critical step--development of the decision making process, as well as the rest of basic policies.

Kaser: We should define our responsibilities to best work within the University structure and to support the purpose of the University. I'm not concerned with bringing about change.

Edelman: This contradicts your own policy of trying to define or jointly agree on purpose. We should define some kind of policy through a charter.

Several of the group felt that just as an administrative chart is hierarchial, so are concepts. Kaser felt that for pragmatic reasons we need only pay lip service to hierarchy while actually operating under the real structure--whatever that may be.

Kaser: The library world is nothing more than a set of operations, just as an automobile plant produces automobiles. The trouble is that the library is trying to do this with professionals. No one has tried or been able to reconcile the two.

The library administration administers what it chooses to call a library. This leaves out a lot of reading rooms and other informal collections.

I propose that we... incorporate all the library units into a functional, pyramidal organization structure...

Edelman: I would strike "function" because it is confused. "Library" does not break down into functions. Selection is a function; collection is an activity.

Kaser: But I hold you responsible for building the collection.

Edelman: Yes, this is a line function. The issue is the distinction between functionalism and professionalism and I would fight hard for it.

Kaser: I don't like dotted lines; they only clutter up the chart.

Ross: I would like to see more recognition of the formal structure. I used to hear Dr. McCarthy* say over and over again, "We have a centralized administration and a de-centralized library system."

In the evening debates, there seemed to be direct contradictions between what was said and what was heard. Dr. Kaser thought that the Librarians Assembly could have a real role in running the Library. Someone else said that Dr. Kaser wanted a classic authoritarian, administrative library structure. Another thought that he should be authoritarian and was shirking his responsibilities by failing to make decisions. Still another said that he pays lip service to participatory management, but still makes independent decisions contradictory to policy and without consulting staff. Dr. Kaser emphasized "that he wants the staff to become involved in decisions, and this is the main reason for the planning effort." Someone observed, in private, that staff was confused and not ready for this new type of management. Someone else said

* Former Director, Cornell University Libraries.

that the Director "very definitely contradicts himself when he says the Librarians Assembly should take part in policy, and they would very definitely be surprised to hear that he wants, expects and perhaps would permit them to participate in planning." And so it went for a day and a half:

authoritarianism vs. consultative/participation;

centralization vs. decentralization;

a system of libraries vs. a library system;
(the German distinction Edelman referred to
as "Bundestadt" as opposed to "Stadtenbund");

functionalism vs. professionalism.

When someone observed to Dr. Kaser that these were really old questions, he said, "Oh yes, they've all heard them before, but this is the first time they've all done it together. So far I feel very good about it."

By Tuesday evening the group managed to put together some tentative statements on organization administration they could agree on. A very difficult day had passed. They were not yet comfortable as a Team, and they had yet to work out a satisfactory relationship, especially with the Director. Yet they appeared to be making progress.

The remaining time devoted to Basic Policies produced, with little discord, some meaningful statements about those areas not related to organization and administration. It was Wednesday noon before they had finished.

5. Strengths and Weaknesses.

The group had no difficulty running through this assignment, and produced a rapid list of strengths and weaknesses. An honest self-evaluation of this kind should be a must for every library. Though self-proclaimed strengths are certainly challengeable, they are balanced by self-admitted weaknesses. The degree of strength or weakness could be determined through quantitative testing and might be more informative. Though AMA's slant is in spotting weaknesses and strengths which affect the organization's competitive position (less an important factor in a non-profit organization), the list later helped to identify and define objectives. Identification of "key strengths" and "key weaknesses" also helped. The group believed their key strengths to be in the size or quality of the staff, collection and physical plant and their own general forward-looking attitude, the recognition of the need to innovate and communicate, and an apparent acceptance (credibility) in the University. Key weaknesses related directly to the human element--the unclarity of decision making process, the amorphous organization structure and staff turnover.

6. Challenges and Opportunities.

This assignment like the foregoing was not difficult. Again it would later help to pinpoint objectives. The list of twelve items can be characterized chiefly by: preparing to cope with trends and external developments, developing an active style, and building cost/benefit efficiency. Emphasis was placed

on the need to improve and sustain the Library's image, and the appearance of executive solidarity.

7. Crucial Problem Areas.

This is another list which would later help to establish priorities. Every item on this list had to do with the contents of the Library, its collection, preservation, expansion and control. Despite the considerable distress in prior discussions, there was no disagreement on the inevitability of continued expansion.

8. Key Result Areas.

In still another short session, the group generated a list of "key result areas" (see Appendix C) which AMA defines as "Areas of performance which are judged to be most critical to the long term success of the business, such as profits, growth productivity, innovation, etc." Librarians have long wondered if the lessons of corporate profit and customer satisfaction could be applied to libraries, but have always faltered when it became necessary to define the product. The Cornell group recognized this problem when they set about identifying the key result areas. The list in two parts can be characterized by its concern for user satisfaction in obtaining information from the library, efficient organization and preservation of useful materials, and staff satisfaction. This exercise like the foregoing helped to articulate the much more

detailed list of Continuing and Specific Objectives. Again recognizing the difficulty of measuring performance without being sure of the end product, though there was some agreement that it was "delivery," they left that task undone. They were to wrestle with measures of library effectiveness again in the second week.

9. Environmental Factors.

Consideration of the external factors which would influence the Library's future and its objectives produced two lists. Note that "external" was taken to mean everything outside of the Library, but this could still mean within the University. Judging from the little time spent on Competition/Competitors, the group was not seriously concerned with this question. The list digests to: competition from other libraries, from other universities and from other information services.

The other document, Environmental Analysis, was a limited attempt to forecast social and technical trends which would affect the Library, to assess their impact on CUL and to identify ways to cope with the impact.

The significance of this exercise could be enormous. But the group put little effort into it, and rightly so since it was beyond their scope. They did mildly debate whether declining use of the library was a trend or a natural phenomenon. Whether there is a trend toward using non-library sources of information that libraries have always regarded as their responsibility is a fundamental question and needs careful study.

10. Continuing and Specific Objectives.

At first thought, it might seem that once the library's mission was defined and guiding principles and basic policies had fallen into place, the job of identifying continuing and specific objectives would then be a straight forward process of enumeration. Such it apparently turned out to be, but not immediately. Additional work was required before the group would agree on what the Library's fundamental objective was. Though that fundamental objective, "maximizing the number of useful contacts between members of the Cornell community and recorded information" was identified at the very beginning of the discussion on objectives, it was not until well into the interim period, after much probing into the meaning of "useful contact," that the phrase was recognized as fundamental to their Statement of Mission.

"Useful contact" was their way of expressing the user's role in the flow of information. They observed that statistical methods should be applied to determining the extent of useful contacts, and in this, of course, they were quite right. (In statistical and probabilistic terms, "useful contact" would be called a dependent variable and the definition describing the means for measuring it is called "operationalization." All of the measures stated or implied in the continuing and specific objectives need additional and careful operationalization. But this is very difficult work and the time required to do so, to say nothing of that required for data collection is large.) There was comparatively little difficulty in listing objectives. The list was begun at this session and not completed until five months later. There was recognition of the need to measure

achievement of objectives and that special statistical training was required for such measurement, but apparently little appreciation of the time required to do so.

The fifteen continuing and the one hundred or so specific objectives outline a substantial and full-bodied, on-going major library program. The specific objectives are subsumed under continuing objectives and are supposed to be, according to definition, "achieved at a definite point in time and... measured in terms of accomplishment." For Cornell University Libraries, this may not necessarily mean that once a specific objective is accomplished that they can then go on to the next one, for many are themselves continuing objectives, especially those specifying "improvement."

Kemper has pointed out that a plan is not a bound document, that a plan requires continual modification, revision and up-dating. But even if all modification, revision and up-dating were halted, and CUL's objectives were printed, sewed and prettily bound, they would keep the staff busy for at least the life of the binding.

11. Last Words in the First Week.

Despite the week's accomplishments there was a pall of discomfort on the last day about the group's inability to resolve the two related questions of administrative structure and decision making process.

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more difficult was: developing a rational structure for day-to-day operating decisions. More will be said on this later.

2. The Mission Statement.

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I propose that we... incorporate all the library units into a functional, pyramidal organization structure...

Edelman: I would strike "function" because it is confused. "Library" does not break down into functions. Selection is a function; collection is an activity.

Kaser: But I hold you responsible for building the collection.

Edelman: Yes, this is a line function. The issue is the distinction between functionalism and professionalism and I would fight hard for it.

Kaser: I don't like dotted lines; they only clutter up the chart.

Ross: I would like to see more recognition of the formal structure. I used to hear Dr. McCarthy* say over and over again, "We have a centralized administration and a de-centralized library system."

In the evening debates, there seemed to be direct contradictions between what was said and what was heard. Dr. Kaser thought that the Librarians Assembly could have a real role in running the Library. Someone else said that Dr. Kaser wanted a classic authoritarian, administrative library structure. Another thought that he should be authoritarian and was shirking his responsibilities by failing to make decisions. Still another said that he pays lip service to participatory management, but still makes independent decisions contradictory to policy and without consulting staff. Dr. Kaser emphasized "that he wants the staff to become involved in decisions, and this is the main reason for the planning effort." Someone observed, in private, that staff was confused and not ready for this new type of management. Someone else said

* Former Director, Cornell University Libraries.

that the Director "very definitely contradicts himself when he says the Librarians Assembly should take part in policy, and they would very definitely be surprised to hear that he wants, expects and perhaps would permit them to participate in planning." And so it went for a day and a half:

authoritarianism vs. consultative/participation;

centralization vs. decentralization;

a system of libraries vs. a library system;
(the German distinction Edelman referred to
as "Bundstadt" as opposed to "Stadtenbund");

functionalism vs. professionalism.

When someone observed to Dr. Kaser that these were really old questions, he said, "Oh yes, they've all heard them before, but this is the first time they've all done it together. So far I feel very good about it."

By Tuesday evening the group managed to put together some tentative statements on organization administration they could agree on. A very difficult day had passed. They were not yet comfortable as a Team, and they had yet to work out a satisfactory relationship, especially with the Director. Yet they appeared to be making progress.

The remaining time devoted to Basic Policies produced, with little discord, some meaningful statements about those areas not related to organization and administration. It was Wednesday noon before they had finished.

5. Strengths and Weaknesses.

The group had no difficulty running through this assignment, and produced a rapid list of strengths and weaknesses. An honest self-evaluation of this kind should be a must for every library. Though self-proclaimed strengths are certainly challengeable, they are balanced by self-admitted weaknesses. The degree of strength or weakness could be determined through quantitative testing and might be more informative. Though AMA's slant is in spotting weaknesses and strengths which affect the organization's competitive position (less an important factor in a non-profit organization), the list later helped to identify and define objectives. Identification of "key strengths" and "key weaknesses" also helped. The group believed their key strengths to be in the size or quality of the staff, collection and physical plant and their own general forward-looking attitude, the recognition of the need to innovate and communicate, and an apparent acceptance (credibility) in the University. Key weaknesses related directly to the human element--the unclarity of decision making process, the amorphous organization structure and staff turnover.

6. Challenges and Opportunities.

This assignment like the foregoing was not difficult. Again it would later help to pinpoint objectives. The list of twelve items can be characterized chiefly by: preparing to cope with trends and external developments, developing an active style, and building cost/benefit efficiency. Emphasis was placed

on the need to improve and sustain the Library's image, and the appearance of executive solidarity.

7. Crucial Problem Areas.

This is another list which would later help to establish priorities. Every item on this list had to do with the contents of the Library, its collection, preservation, expansion and control. Despite the considerable distress in prior discussions, there was no disagreement on the inevitability of continued expansion.

8. Key Result Areas.

In still another short session, the group generated a list of "key result areas" (see Appendix C) which AMA defines as "Areas of performance which are judged to be most critical to the long term success of the business, such as profits, growth productivity, innovation, etc." Librarians have long wondered if the lessons of corporate profit and customer satisfaction could be applied to libraries, but have always faltered when it became necessary to define the product. The Cornell group recognized this problem when they set about identifying the key result areas. The list in two parts can be characterized by its concern for user satisfaction in obtaining information from the library, efficient organization and preservation of useful materials, and staff satisfaction. This exercise like the foregoing helped to articulate the much more

detailed list of Continuing and Specific Objectives. Again recognizing the difficulty of measuring performance without being sure of the end product, though there was some agreement that it was "delivery," they left that task undone. They were to wrestle with measures of library effectiveness again in the second week.

9. Environmental Factors.

Consideration of the external factors which would influence the Library's future and its objectives produced two lists. Note that "external" was taken to mean everything outside of the Library, but this could still mean within the University. Judging from the little time spent on Competition/Competitors, the group was not seriously concerned with this question. The list digests to: competition from other libraries, from other universities and from other information services.

The other document, Environmental Analysis, was a limited attempt to forecast social and technical trends which would affect the Library, to assess their impact on CUL and to identify ways to cope with the impact.

The significance of this exercise could be enormous. But the group put little effort into it, and rightly so since it was beyond their scope. They did mildly debate whether declining use of the library was a trend or a natural phenomenon. Whether there is a trend toward using non-library sources of information that libraries have always regarded as their responsibility is a fundamental question and needs careful study.

10. Continuing and Specific Objectives.

At first thought, it might seem that once the library's mission was defined and guiding principles and basic policies had fallen into place, the job of identifying continuing and specific objectives would then be a straight forward process of enumeration. Such it apparently turned out to be, but not immediately. Additional work was required before the group would agree on what the Library's fundamental objective was. Though that fundamental objective, "maximizing the number of useful contacts between members of the Cornell community and recorded information" was identified at the very beginning of the discussion on objectives, it was not until well into the interim period, after much probing into the meaning of "useful contact," that the phrase was recognized as fundamental to their Statement of Mission.

"Useful contact" was their way of expressing the user's role in the flow of information. They observed that statistical methods should be applied to determining the extent of useful contacts, and in this, of course, they were quite right. (In statistical and probabilistic terms, "useful contact" would be called a dependent variable and the definition describing the means for measuring it is called "operationalization." All of the measures stated or implied in the continuing and specific objectives need additional and careful operationalization. But this is very difficult work and the time required to do so, to say nothing of that required for data collection is large.) There was comparatively little difficulty in listing objectives. The list was begun at this session and not completed until five months later. There was recognition of the need to measure

achievement of objectives and that special statistical training was required for such measurement, but apparently little appreciation of the time required to do so.

The fifteen continuing and the one hundred or so specific objectives outline a substantial and full-bodied, on-going major library program. The specific objectives are subsumed under continuing objectives and are supposed to be, according to definition, "achieved at a definite point in time and... measured in terms of accomplishment." For Cornell University Libraries, this may not necessarily mean that once a specific objective is accomplished that they can then go on to the next one, for many are themselves continuing objectives, especially those specifying "improvement."

Kemper has pointed out that a plan is not a bound document, that a plan requires continual modification, revision and up-dating. But even if all modification, revision and up-dating were halted, and CUL's objectives were printed, sewed and prettily bound, they would keep the staff busy for at least the life of the binding.

11. Last Words in the First Week.

Despite the week's accomplishments there was a pall of discomfort on the last day about the group's inability to resolve the two related questions of administrative structure and decision making process.

Kaser: This sounds like a protagonist/antagonist situation. I don't think it's fruitful.

But there was a facing up to it, and a determination.

Kaser: Are you prepared to say that we can solve this problem of administrative structure?

Edelman: I'm absolutely convinced; I just don't want the problem to get in the way of these other important concepts we are trying to get on the board. As long as we don't cop out on the problem.

Kaser: Yes, as long as we don't cop out.

Olive: Trouble is we have a decision structure, a policy structure and an administrative structure--Sometimes we use one structure when we should be using the other. There's a lot of grey areas. I've had problems that I didn't know who was supposed to make the decision.

Kaser: Problem is two-fold: (1) we are not making decisions within a pyramidal structure; (2) little precedent for making decisions within the Librarians Assembly.

Edelman: We need to decide which of Betsy's three areas we need to delegate.

Spicer: There is no agreement among librarians as to what decisions they should be making. I don't feel that 120 librarians could come up with a better plan than eleven librarians.

Kaser: We had till now expected that this plan would be taken back to the Librarians Assembly to be approved there.

Spicer: I think what you and I are both trying to say is that we can have a democratic style within the department structure. I don't think we can have the participatory kind of management in this large amorphous Librarians Assembly.

Kaser: You know, I promote the most dissatisfied people. I had a president who said, "Whenever you have a faculty member who criticizes make him a Dean." The critical objective in CUI, indeed, in every cotton picking library in the U.S. is to get the staff involved in decision making. This is the prime objective of this meeting, even though it would not be appropriate to put it on the board or to write it down. Therefore, I don't mind spending more time on it.

There was much more of this, both in session and in private, and they recognized that the personal involvement was potentially diversionary. And diverted from this last task--listing intersession assignments--they temporarily were.

Ross: It's my assumption that the objectives we've listed will be refined and restated. The outline of objectives doesn't hold together. We need to put everything in context.

Kaser: I agree. We should articulate the whole into one unified framework.

Edelman: But our mission is to teach the staff how to plan.

Eldridge: This is an exercise in methodology.

Kaser: One of the missions was to develop the concept of the team. Like McGraw-Hill who has replicated this process throughout their world offices, we want to do it when we get back throughout our libraries.

Avis: Yes, this is what we want to see take place.

Spicer: I think you are all in agreement. What you are saying is that we should be cautious because the staff will jump to conclusions.

Finch: I'm surprised that Dave hasn't said this already, but the staff will be expecting us to come back from the mountain with the Ten Commandments. (Laughter.)

Sellers: And even Moses had to do it twice. (Laughter.)

Kaser: I'm all in favor of "planning by objectives." But some people think the term is already passe', so let's do everything about planning by objectives, except call it that.

Ross: I thought our purpose was to develop a team. We haven't developed a team. Have we developed a team?

Edelman: I'm sure of it.

There was definitely a more agreeable spirit now, even though they had not agreed on organizational structure. At least one study has shown that, given the assignment of coming to an agreement within a specified time, a group will do just that. Could the group now be called a Team? One criterion is that despite the heated debates, the personal involvement, the criticism and the bitterness, when aggressive argument falls far short of sabotage, there is a degree of success.

So the group went home--tired and discouraged from the intensive debates, but not without hope.

C. INTERIM MEETINGS.

There were two interim meetings of the Team, on June 6 and October 12, 1972.

Much work had been done at home on drafting, redrafting and consulting with Staff (see Part II, Chronology). So the main purpose of the June 6 meeting was to review the basic planning documents and to incorporate the suggestions and changes made by the general staff.

The main problem of the morning was with "useful contacts," again demonstrating the difficulties in conceptualizing the phrase. (See Part IV, B, 10, above.) But the discussion did point up the importance the phrase had taken on with the group. At lunchtime Dr. Kaser confided that he thought much progress had ensued since the February meeting in Hamilton toward welding the group into a planning team. There was much less disagreement, he thought, and cooler tempers and more unity.

The afternoon was spent in committee-type revision, and lastly in debate on whether the document was ready to be presented to the staff.

They met again on October 12 to review the Continuing and Specific Objectives. To make the objectives self consistent, scissors and paste editing had been used, with a few strategies incorporated.

The better part of the day was spent on reviewing a proposed mechanism for continuing and review of the planning process. This was a continuation of the debate in Hamilton, but now the issue was becoming more explicit and more open.

Ross: May I say that I think you are afraid that the planning committee will usurp some of your authority. But I don't think it does; I think you're going to have to accept it.

Kaser: No, I don't think I'm afraid of it. I do think the planning committee should be the executive committee.

Ross: It's not the grass roots. We can't leave planning to the executive staff. The best techniques for managing by objectives should be presented to the entire staff.

This curious exchange almost seems to contradict the positions held at the earlier meetings where one insisted that the staff should become involved in decision making and the other argued for strong executive action. (The confusion may be the observer's.) The problem was to carry over to the next Hamilton meeting.

Perhaps the major accomplishment of the day was to charge the Planning and Budget Officer (Sellers) with full-time responsibility for the planning effort henceforth and until the major work was done. Heretofore he had been burdened with many routine chores unrelated to the planning effort. This decision was made by the group and agreed to by the Director.

D. SECOND WEEK AT THE AMA PLANNING CENTER.

Scheduling problems had forced postponement of the second week several times. It was nigh onto the holidays before common free time could be found. Immediately it was made very plain that a "conspiracy was about" to get through the week's work fast and "to get out of here by Wednesday or Thursday." Because it was only a few lovely, snowy days before Christmas there was seasonal incentive to get the work done, and they did just that.

The mood was business-like with none of the apprehension and nervous jollity of the first week. Though there were some sticky relationships to resolve, they were surely working more as a Team than during the first few days of the first week. One member did not come. Though his absence was

probably highly significant, it would be only guesswork to assess its effect. One noticeable change: those who contributed little if anything in the first retreat were contributing now.

1. What we want to accomplish this week.

There was a short and quick review of tasks previously identified and not yet carried out. The group made a checklist of the week's work ahead.

2. Continuing Objectives--Levels of Priority.

Arrangement of objectives according to priorities was almost casual. One person would say, "I'd like to put Objective B under Priority 2," so there it went with little or no opposition. There was agreement that a total ordering would be unrealistic, so four levels later reduced to three were adopted, and objectives within categories arranged by its number with no priority. The most noticeable disagreement was over the objective on improving user skills. One member felt "uncomfortable" about its being under Priority 4, the lowest. The discomfort apparently dissolved when category 4 was eliminated and user skills were assigned to Priority 3. Dr. Kaser said that a lower priority in no way reduced an objective's importance.

3. Strategies for Achieving Objectives.

The main thrust of the discussions on strategies was on means for evaluating achievement of objectives. As in previous discussions, there was a general recognition that data collection was required, but little understanding of how this should be done. (In scientific evaluation, for example, the investigator doesn't begin with data. He begins by defining the question to be evaluated, the "hypothesis." Next he defines very carefully the manner in which data is identified, the "operationalization." Then he collects the data and last he performs the statistical analysis. As pointed out above, this is a very large task and would require full time assignments even to evaluating single objectives.)

After a review of a published paper listing criteria for measuring library effectiveness, and some discussion of possible methods (ratio of users satisfied to users not satisfied, surveys of users in stacks, recall notices) someone said, "We don't have anyone competent to carry out these studies and until we do, this whole discussion is nonsense." Everyone agreed and someone else suggested that all their statements on data be reduced to one: that they will need a sampling survey on a periodic basis. They would, of course, need on-going surveys in as many areas as needed to assess the "hit and miss" criterion.

The net result of the strategy effort is fairly slim, with only 24 of the 100 specific objectives (as of the December meeting) acquiring any strategy and these can be characterized for the most part as further specificity of the objectives under which they were listed. It must be concluded here that the job of strategizing was left undone.

4. Continuing and Specific Objectives, Referrals by Name, Including Priority Levels.

"Referrals" simply means the assignment of responsibility for carrying specific objectives to individual members of the Planning Team. All the objectives were covered by seven members of the Team, who, it turned out, were members of the Executive Staff.

These assignments were made routinely without difficulty, since the objectives are structured more or less consistently with the overall major divisional functions of the Library.

5. Structure and Technique for a Continuing Planning Process at Cornell University Libraries.

The issue of how major decisions were made in Cornell Libraries came to a head in the debate on who should be responsible for the continuing planning process. The term "Planning Council" was acceptable and this meant dissolution of the original Planning Team, but who should do the planning? And how should it be done?

Earlier in the week (it was now Wednesday) one of the members had confided outside of the meeting that there was a good deal of disillusionment about the planning effort among the general library staff; the opportunity to be heard was diminishing; suggestions and pleading for action were falling on deaf ears; the Director was an autocrat and did pretty much what he pleased despite the gestures toward participative management; the bureaucracy was too entrenched

to permit action; and the Team had not become unified. How much of this was true, or how much of it was because the mechanism for decision-making had not yet been clarified was impossible to tell.

The debate centered on who would make up the Planning Council.

Heishman: I just don't know how its going to work. I see a conflict all up and down the line. But I'm willing to give it a try. I see us trying to fit personalities into contexts. I don't really see what the Planning Council can do that the Executive Staff can't do.

Eldridge: I very frankly must admit I don't know why we need the Planning Council. The whole thing is tokenism. Why do we need a couple of extra people on the Executive Council? It's a question of credibility.

Heishman: I feel that the plans should come from the grass roots, not some quasi-administrative chart.

Kaser: Is there some special reason why the Planning Council should be distinguished from the Executive Staff? Why couldn't they be merged?

-Sellers: (1) Hurt feelings (2) philosophy of organization.

Kaser: There are several ways of skinning a cat. The job can still be accomplished.

One member proposed a standing committee of the Academic Assembly; but there was apprehension that some members of the Assembly would feel it their duty to take the adversary's stand. The Team was trying. Time was running out; old arguments were suppressed and proposals were becoming more frequent. Compromise was in the air. One proposal offered by a senior executive took the following form after some modification:

The Planning Council will be "composed of the Director or Associate Director, the Planning and Budget Officer, a member of the Executive Staff from the statutory payroll and three members of the Academic Assembly of whom one is to be a college librarian and one a department head."

In short order this proposal for a tight-knit team of six persons had a consensus and seemed to satisfy those who wanted legitimate rather than token representation. Planning ideas would originate at all levels; but especially significant would be the recognition of the grass roots. Ideas in the planning sequence would flow from individuals, units and subunits (the grass roots) to departments or interdepartmental groups (the base planning unit) to the appropriate director or officer, to the Planning Council and lastly to the Executive Staff. The Planning Council would review the mission statement, objectives and other components of the planning process. The Executive Staff would be the final decision making authority and would approve, reject, modify, or return plans for further study, and would determine priorities for implementation. The proposal would be project-oriented and would satisfy the requirement for a continuing planning process. The proposal would also provide internal quarterly and annual reports within and to the library staff, a remarkable and interesting departure from the tradition of submitting annual reports only to the University administration. This plan is one of the major documents in Appendix C.

At lunchtime, in response to questioning about the morning's action, the Team member who had conveyed the staff's disillusionment to me, replied, "I feel much better about it." Though the skies over Hamilton were characteristically cloudy, the atmosphere at the AMA Grove was clear. What the

weather would be back home, no one could foretell. Another afternoon of routine work and one more short morning and the Team could go home.

6. Last Words in the Second Week.

Thursday was a good morning.

David Kaser told the story of the Dean who had been desperately ill. When he returned to his faculty assembly he was told, "Dean, we wanted to tell you how much we hoped for your speedy recovery and how glad we are to have you back. The vote was 56 to 48." Dr. Kaser wanted to tell this story, he said because "any time you have a 56 to 48 majority, you've achieved a substantial unanimity, and we've certainly done better than that."

The Team's last task was to prepare a list of things to do, and take home tasks (see Appendix C). Heavy emphasis was placed on the need to apply quantitative measures to continuing objectives. There was strong agreement that the Library needs a person trained in statistical methods--though still no decision to hire such a person.

This finished the week and with what must be characteristically efficient AMA timing, the President of AMA, James L. Hayes and the former President, Lawrence A. Appley "dropped in for a goodbye chat." They had just flown in on AMA's jet, the "White Eagle."

Jim Hayes, as he likes to be called, had some things to tell the Team and had even done some library homework. He wanted to tell them about his first love, a librarian, but they'd have to speculate about that. "I will tell you about

the new trend. The thing that's been lacking is entrepreneurship. The notion was that if you didn't know the Dewey Decimal System, forget it. The way it really was: The Dewey Decimal System was the best way to hide things." The Team enjoyed this fun-poking. "We need some entrepreneurship in every field. I've always wanted to write a book about the sad state of the professions." Everything we said about Jacquith earlier--the composure, the polish--could be said about Hayes. The Team liked him. They were entrepreneurs.

One more message from Mr. Appley and the morning was over. "How do you know when you've done a good job of planning?" he asked. "When the future is just as clear as the present."

IV. EVALUATION

Sometimes an accomplishment has an inherent and unique fascination and needs no justification whatsoever, such as rowing across the Atlantic, and no one ever raises the question, "But what is its value to society?"

But when the accomplishment involves other people and substantial resources, the question of value becomes important. Librarians, like other social servants, have accomplished many things, and have been proud. But librarians, like other social servants have not often sat back and asked, "What was its value?" Like the Atlantic rowers, we are happy enough to have done it, to have reclassified to L. C., erected modular buildings, established divisional libraries, adopted blanket orders and approval plans. When we did ask and when we did "evaluate," we simply said, "It was good," or "It was bad." And, depending on the skill of the evaluator we believed him or not.

The importance of evaluation is explicit in the original Cornell planning proposal. Evaluation of two aspects of the effort are implied: one, the plan, and second the process. The plan and its final impact on Cornell library operations, it was understood, would not be evaluated until it had had time enough to take hold--two or three years hence.

The process itself, however, was important and timely enough to warrant immediate evaluation. As we suggested above, evaluation can be a one-man, highly personalized and therefore biased judgment, or it can be a composite

albeit still biased evaluation, which nevertheless adds confidence to it. For this reason, the author thought that a self-evaluation would give balance to the author's own, would provide much additional information by providing a basis for future comparison, feedback for Cornell Library planning in months to come, and more precision in whatever evaluations were made.

A. SELF EVALUATION; RESULTS OF SURVEY OF THE CUL STAFF.

1. Rationale.

The two major objectives of the planning process (p. 4, above) surfaced frequently during the entire proceedings. They and many related questions provided ready material for a questionnaire (Appendix D) which was drafted by the author, and reviewed by two members of the Planning Team plus the Team Director, Jack Avis, before being administered to the Cornell staff in January, 1973.

It was understood that many individuals would not have had time to form judgments about the Team process on the planning documents, so that a substantial number of "neutral or undecided" responses were expected. Whatever the nature of the overall response, the findings would be useful in identifying problem areas needing attention in the coming months and for later comparison. Early analysis and application of the findings was important because opinions were expected to change over the coming months.

Only highlights and major findings of the survey will be presented here. A more complete analysis and report will be made separately.

2. Analysis and Interpretation.

In the following summaries, it should be kept in mind that the responses are opinions only; what the respondents believed to be so at the time. They may or may not reflect the true state. For example, the AMA may be judged by CUL staff to be a major contributor to the contents of the planning documents, when in fact AMA contributed the framework only.

Summary or group responses may throw the weight of opinion to favorable, or unfavorable, even though individuals in a group may have a strong opinion to the contrary.

Interpretation of the summary responses to the statements about the Planning Team, the Effort, and the planning documents are based principally upon a visual inspection of the data. The reader can check these interpretations by referring to the summaries and explanation in Appendix D.

Overall, the summary responses to fifteen questions can be regarded as more or less favorable to the planning effort; and those to five questions as unfavorable to the effort. The remaining questions were neutral or non-interpretable in those terms.

The statement that the Planning Team was effective and unified received a very favorable response, and furthermore the statement that the Team's effectiveness and unity could be attributed to their own acumen and willingness also received a very favorable response. A superficial observation indicates

the respondents thought that, of all the possible factors (AMA, Director of Libraries, etc.) the Team's own acumen and willingness was the most important.

Similarly, the statements regarding the document's effectiveness for guiding CUL, and their value to other libraries received somewhat greater favorable response than unfavorable. On the other hand, the statement on the documents' meaningfulness received more unfavorable responses. On closer look, the contradiction (effective and valuable, but not meaningful) is minimal, since 40% of respondents thought the planning documents were not meaningful and 33% thought they were.

There is strong feeling that the decision making process is no clearer now than previously. On the other hand, the staff felt that the Team was fully receptive to the staff's ideas. The staff also felt that they had all the impact they desired on the Team.

There was a very substantial agreement that the planning documents were good ones and substantial agreement with the priorities of the documents.

On most of the remaining questions, where there was a preponderance of agreement or disagreement, it was not substantial. As expected, there was a tendency toward neutrality. In a few instances, there was a tendency toward even-splitting. Agreement or disagreement was pronounced enough, however, to indicate definite tendencies.

Analysis of the parts in the questionnaire regarding Team membership, executive or administrative status, librarian rank, or organizational function (public or technical) are based on statistical tests of significance of their summary responses. (In the later detailed report, the interpretations discussed above will be analyzed in the same way where necessary.)

Generally speaking, if a group of respondents (administrators, librarian ranks, etc.) were favorable to the planning effort on one question, they were usually favorable on another. And the inverse--unfavorable on one, unfavorable on another--was true too.

There is a significant difference between summary responses of Team members and non-Team members. The Planning Team itself was evenly divided on most questions, even though most other respondents thought the Team was unified and effective.

There is a significant difference in the way the librarian ranks responded. Senior Assistant Librarians responded favorably the most often (very much so), Associate Librarians and Librarians the next most often, and the Assistant Librarians were evenly divided. Why the two lowest ranks

should be so far apart, while the two upper ranks were in between is not immediately apparent. Further analysis may show a pattern.

There was also a significant difference in how the executives, the administrators, and non-administrators responded. Executives as a group were either favorable to a question, or evenly divided and were never unfavorable. Administrators responded favorably as a group as often as they did unfavorably. Those neither administrative nor executive responded favorably more often than they did unfavorably. They also responded favorably more often than executives and administrators.

A superficial analysis of the difference between those in the public and technical services shows a low significant difference in their responses, not enough for an acceptable level of confidence. Closer analysis may reveal greater significant differences.

B. PROFESSIONAL EVALUATION, VALUE TO THE LIBRARY COMMUNITY AT LARGE.

1. The Process.

That the corporate experience in management and planning is relevant to the running of any organization has already been claimed by AMA, management scientists, administrators and many librarians. The assumption is disputed by others, but will not be disputed here. It rests on common assumptions about the nature of man, his need for self-actualization and the social purpose of his

institutions. Whether an organization dedicated to profit-making is any less noble than the library dedicated to providing access to information for anyone who wants it, including those who use it for profit-making, is not easily settled.

We could point out apparent differences. A corporation is a profit-making enterprise; a library is public service. Corporations are self-serving; libraries are public-serving. Corporations are exploitative; libraries are intellectual. But such an exercise would be fruitless if the differences were to melt away under the scrutiny of logical analysis.

More to the point, perhaps, would be lower level questions concerning the practical validity of careful, long-range planning.

Individual corporations that do not plan, the contention is, suffer considerably in the competitive market. But few libraries are even in remote danger of suffering under competition from other libraries. Why should any library bother to plan, when its managers know that it will survive without the slightest show of profit, and even with the lowest performance? Such thinking may account for the feeling among some librarians that to put themselves away from their daily production routines to invent a "plan" is a waste of time since the plan will not change "the natural order of things" and when they "know" that their production routines will go right on as usual.

Another very practical consideration is whether a university library can produce a valid plan independently of the higher university administration. The AMA planning process requires the highest level executive staff of the organization. Can a relatively isolated and lower level segment of the university

organization, whose universally accepted role is to serve that organization, come up with anything that would not be invalidated by a capricious presidential decision? Perhaps this is a moot question but it would seem discreet and possibly fruitful to have a non-librarian, high-level university administrator on the Planning Team. Cornell's Team, of course, did approach this question by (1) conferring with the administration at the beginning of the effort, and (2) later by its attempt to interface with a University-wide survey^{*} of goals. On the other hand, the argument that a corporate team must account only to itself and to the stockholders whereas a library must account to the university administration can be countered with the claim that the library's experience with the process could be a model for other administrative components of the university.

Aside from these broader considerations, and if the process is accepted in principle, what about the general applicability to libraries? Is it flexible enough for different library Teams? Yes. Is it comprehensive enough to guide librarians through their special kind of planning problem? Yes, if one keeps in mind its utilitarian orientation which pretty well ignores the need for theoretical development of library purpose and beliefs.

Should all libraries go through the process? If they do, not necessarily on the same scale. Large libraries: yes, because the greater complexity of inter-communication problems can obscure principle objectives, and prevent systematic performance evaluation, and because they may enjoy, through their

* Cranch Report.

sheer size, a certain degree of autonomy in the university organization. Small libraries: probably not independently of the university administration.

Should libraries which decide to launch into a full-scale planning effort follow AMA's model? There are others as we pointed out earlier. One opinion submitted to the author is of interest here.

The impact of Cornell's planning experience with the AMA has already spread far beyond the narrow confines of the campus itself into the broader library community beyond. Before the end of 1972 the Director of Libraries had published one article on planning and had another awaiting publication in the library press. He had also addressed three state library associations and three library schools on the subject, and Cornell's Planning Officer had held a convocation in Ithaca where planning officers from thirteen other major university libraries devoted one whole day's discussion to the topic.

One of the original observers, Glyn Evans of the Five Associated University Libraries, subsequently brought his Board of Directors together for five days of retreats at which they went through exactly the same process by determining a mission and objectives for FAUL. Another observer, Duane Webster of ARL's Office of Library Management Studies, used the process to help ARL come to a clearer sense of its purpose, and he factored components of the process into the Management Review and Analysis Program now being promulgated by his Office. It is expected that as Cornell's experience becomes more widely known the influence of AMA's contribution will cascade even further among American research libraries.

More recently, it was learned that a substantial number of the statements in the University of Illinois Library's Statement of Goals and Objectives of the Library, October 25, 1972, were inspired by the CUL documents. And the author of this report intends to apply the major components of the process to his smaller library organization on a more telescoped time scale and during the regular working hours without going into retreat. Since AMA had no accumulated

experience with libraries, it could be argued that, despite the general applicability of the process, it should be more formally adapted to the library context. Duane Webster's Management Review and Analysis Program, Cornell's effort, additional experience by other libraries, development of systematic evaluation methods, AMA's model, plus input from other models should provide a good working base for that adaptation.

2. The Team.

We have already seen what the Cornell Library Staff thinks of the Team and what the Team thinks of itself (Part IV. A.). How well did the Cornell Team actually perform in the process? We have no standard for comparison other than its own evaluation. Even an impartial observer's judgment needs a standard. Evaluation of Team performance should be made in the same way achievement of objectives is evaluated. Someone knowledgeable in group dynamics might sort out the interpersonal relationships and how these affected performance and achievement. But such an investigation would be warranted only when a Team fails under conditions that normally produce success. And it cannot at this time be fairly said by any means that the Cornell Team failed. It is my personal opinion that the Team functioned adequately enough to get the job done.

Did the Team address itself to everything in the process outline? By and large, yes, though the strategies, of necessity, were left to be worked out

Is a team necessary to the planning process? In very small libraries, no. In medium-sized libraries, it depends on the size of the executive staff, and the managerial style of the library administration. In large libraries, yes, partly because there is so much to be covered and so many things to do. It is a parceling out of responsibility. But if a strong authoritative chief executive remains at the helm, he may use the team merely as a sounding board for justifying his own ideas and to bring the members around to his way of thinking. A truly democratic team implies that every member has equal strength and equal impact. Such democracy is not possible if the team members retain their status in the executive hierarchy.

Arguments against the team approach are well known: group pressure demands conformity; individual creativity is suppressed; style is lost in committee-type language; time is lost in working out agreements and compromise.

3. Participative Management.

In modern management theory, a distinction is made between two extremes of management style and organizational characteristics. At one end is the classic, and traditional, distrustful, authoritative, exploitative, hierarchial, military-inspired style. This is called Theory X by Douglas MacGregor.¹⁵ On the other end is the more humanistic, considerate, self-actualizing, trustful, participative style. This is Theory Y. Rensis Likert¹⁶ has broken down these two extremes into four broad categories which he calls Systems 1, 2, 3 and 4

which can be measured on a continuous scale. They are:

System 1: Exploitative-authoritative;

System 2: Benevolent-authoritative;

System 3: Consultative;

System 4: Participative-group.

Likert has developed an elaborate questionnaire which has become widely-used to determine where organizations fall in this classification. Several Likert-type questionnaires were administered to the Cornell library staff (prior to the one administered by the author of this report), one internally (1969) and two by AMA (January, 1972). Official interpretation of the results of these surveys was not available, but unofficial interpretation seems to indicate that Cornell Library fell right in the middle between System 1 and System 4--fully benevolent, but not fully consultative. The interpretation also indicates a desire to move further toward System 4. Articulation of this desire was one of the implied goals of Cornell's planning effort: "to get the staff involved in decision making," a vital component of Theory Y and System 4.

Likert points out that the difficulties and pitfalls in moving up the scale toward System 4 are many, and that to expect to move more than two steps in a single effort is highly optimistic and perhaps unrealistic, and that to move one step, say from System 2 to System 3 is a major achievement. Many organizations have been content to move a single step (occasionally, some have reverted). System 1 businesses, which are probably more typical than others, are often ruthless in their exploitation. It is my opinion that the "ruthless" factor is

lacking in most university libraries, even in those whose employees would rate them as System 1. If this is so, then participative management in libraries is well advanced over industry. If Cornell Library is moving into System 3, it must already be far advanced over a great many libraries. To move all the way to System 4 may require much greater effort than it takes to move to System 3, with much more explicit attention to the characteristics identified by Likert in his Organizational Profile. And to expect management, or the grass roots for that matter, to change habits of a lifetime and to overcome the authoritative administrative style so traditionally accepted throughout the profession, all in a year or two, and to adopt a style based on a theory barely 10 years old--albeit, one which has sound empirical support--may be too much to expect of ourselves.

Theory Y and System 4 are still not widely known, and still less applied. The author of this report has observed a common attitude among some aggressive library directors that to be accepted among their peers (other library directors) they must show that they run a tight ship, and are able to suppress rebellion from the grass roots. Much professional face is lost when they cannot. We have seen several well-publicized instances of lost reins in major libraries in recent years. Had these library directors known more about Theory Y and System 4 they might have held on.

Not everything desirable is claimed by Theory Y organizations. Higher production, for example, is not always a result. But more appropriate production (for a particular market, for explicit user needs) is; and higher worker satisfaction is. In libraries, Marchant¹⁷ found no significant relationship

between long-range planning and librarian participation in decision making, but that job satisfaction appears to be improved by participation in the decision-making process.

According to theory, if successful participative management is a result of Cornell's planning effort, then it can expect, at the very least, happier librarians.

4. The Planning Documents.

The planning documents have already been discussed at length throughout this report. A few very brief final remarks will suffice here. The entire AMA planning process, Theory Y and Likert's Participative Management Theory are self-oriented or inward-looking. Though organizations do come up with socially important mission statements, among them Cornell Library, the entire process is devoted to self-conscious, organizational awareness. There is nothing in the entire process, no outline, no schedule, no framework, no vocabulary, which would help an organization to identify and structure user needs and their objectives.

The objectives in the Cornell planning documents are thoroughly professional and reflect some of the best thinking in applied library operations today, and were identified by the Team with no direct assistance or suggestions from any component of the AMA planning schedule. Though serving users received the highest priority among objectives, there is an unrecognized assumption that user needs are already known. Indeed six or more are specifically listed. But only two of five continuing objectives were concerned directly with surveying user needs (who the users are and their attitudes, and reasons for non-use) and these received the lowest priority of all fourteen continuing

objectives. This is not a criticism. It is an observation on the thinking of the entire library profession. Virtually any library planning team would have come up with similar priorities. In future long-range library planning, it will be a challenge to further identify user needs, to further define and maximize "useful contacts" and to take a closer look at user priorities.

C. IMPLICATIONS FOR RESEARCH.

Kemper¹⁸ points out that one immediate planning problem for library administrators is developing hypotheses that will lead to the development of new theories and principles.

The discussions during the retreats ranged over a great many issues which have theoretical implications and are of great interest to librarians. Many issues were familiar: centralization vs. decentralization, service to own faculty vs. service to outsiders, restricted vs. unlimited collection building. Some were less familiar: a breakdown in the library system may very well increase the demand for reference service; improvements in library service are piecemeal. Often the debate raged to no conclusion or agreement--not because one protagonist was unable to best the other, rather because neither side had enough information to settle the issue. Even highly experienced professionals will debate an issue or accept an assumption without empirical support. Sometimes a debatable statement would not be recognized as an assumption and would not be challenged.

Many librarians believe themselves to be entrepreneurs because they innovate. They switch to the Library of Congress classification, for example, and that's progressive. But what library has ever made systematic evaluation of their innovations? What library has ever tried to determine whether the user (the person for whom the library exists) has greater "bibliographical, physical and intellectual access" to a collection after it has been reclassified? If librarians are to be truly entrepreneurs, they will scientifically evaluate not only their specific objectives, but their innovations and basic assumptions as well.

As we have already pointed out, this can be done through modern research methods simply by stating the issue very precisely in the form of hypotheses, by collecting systematic quantitative data, by submitting that data to statistical tests of significance, and finally by objective interpretation of the results. In other words, many assumptions about library procedures and operations, stated or unstated, debated or not debated are simply hypotheses awaiting investigation.

As is so frequently the case in human affairs, assumptions are taken to be self-evidently true, but when tested empirically are as often found to be either not true, or only partially true.

It would be useful to the library profession if many of these issues were actually restated in the form of hypotheses. The list in Appendix E represents just a few of the many raised by the Cornell Team. It would not be appropriate to note which individuals hold or do not hold any of these assumptions. Opinions may have changed during the period of interest. Also, some of the issues may not be recalled by the participants, since many of them were extracted by the

author. But it is appropriate to say that they were all, to one degree or another, generated by the Team. As such, they represent an excellent list of research questions awaiting investigation. They have, of course, no special theoretical framework. At best they are merely a set of unconnected statements, unified only by their likely relevance to library operations.

The hypotheses, then, were suggested by the planning Team discussions and by the assumptions and beliefs listed in their planning documents. They are deliberately not coordinated with those documents, since it is not within my scope to evaluate their content. But they may help to point the way toward establishing performance measures and decision criteria for CUL objectives and for other libraries as well.

Many of the questions on library organization and management are the same ones asked in the literature of organizations in general. We need only read some of that literature for many answers. For example, there is no reason to assume that the human factors in libraries are different from those in business organizations. Some of these hypotheses may already have been tested even in our own literature. With two or three exceptions I have made no attempt to identify any of that literature.

I have tried to state the hypotheses in a form which would facilitate their quantification and subsequent testing for statistical significance, though for actual testing they would require improved operationalization and restatement in terms of the null hypothesis. They should be regarded as examples of how an assumption can be restated for testing. There are certainly other ways.

A few can be studied by collecting data from a single library; others would require data from several libraries. Two or more variables are usually implied in a hypothesis. "User satisfaction" or "user perception" for example are dependent variables and can be quantified on a graduated scale. "Delivery" or the ratio of hits to misses, which the Cornell Team states is their primary end product, is also a dependent variable. They are dependent on other more physical, independent variables--number of books in the library, distance from the catalog, number of filing errors--which are more easily measured. Statistical analysis determines whether the independent variable has a significant effect on, or relationship to, the dependent variable.

Much debate on the many issues of concern to librarians, and much time, would be saved if these issues were submitted to testing in the manner suggested here. Too often, issues not systematically resolved will result in compromise statements, generalizations, or continued wasteful debate and no action. Issues systematically resolved could lead to the theory we need so badly.

Though it is not within my charge to make recommendations concerning Cornell's effort, I do believe that each large university library should have a budgeted Office for Evaluation of Performance, the purpose of which would be the careful attention to questions such as those raised here.

V. SUMMARY AND CONCLUSIONS

Cornell University Libraries contracted with the American Management Association, with a grant from the Council on Library Resources to guide them through a long-range planning project using the AMA's accumulated experience in an action-oriented process developed from experiments with executive groups and from empirical findings of management science.

Cornell Libraries' overall goal through the process was to develop an effective and unified planning team, as well as a "truly meaningful and effective" long-range plan.

How the Planning Team was formed and how it functioned is of considerable interest to those contemplating a similar project. Overcoming the difficulties encountered by the Cornell Team--primarily difficulties of working together-- was a challenge and may serve as a precaution.

Key features of the process are the two weeks spent in retreat in a rural quasi-academic setting away from normal duties during which the components of the process are intensely addressed, and the planning documents are fabricated.

A major component of the planning process is the organizations mission statement. Cornell Libraries' mission, "To provide bibliographical, physical, and intellectual access to recorded knowledge and information..." may be useful as a general statement about library purpose, or as a well-stated

example of how one major library sees itself. More important is the agreement, sometimes the discovery, of the mission.

Other basic documents (Guiding Principles, Basic Policies, Continuing and Specific Objectives, Levels of Priority, Strategies and Structure of the Continuing Planning Process) are vital and provide enormous insight into the organization. The Team addressed itself to all the major components of AMA's process. Cornell Libraries' planning documents can be characterized by their considerable attention to the problems of collecting, organizing and delivering recorded information to the user. Among their important concepts were "useful contacts," and "ratio of hits to misses."

A survey of the Cornell Library staff administered at the end of the first year's effort showed that the staff was generally more favorably than unfavorably inclined toward the questions posed about the effort. Generally, they thought the Team was effective and unified, although the Team itself was divided evenly on most questions. The staff also thought that the planning documents were good ones, would be effective guides for CUL over the next few years and would be of value to other libraries. They also agreed with the priorities of the documents. On the other hand, the staff disagreed, though not strongly, that the documents were meaningful. To most the decision making process was no clearer. Senior Assistant Librarians were most favorable compared to other ranks; Assistant Librarians, though the least favorable, were evenly divided. Non-administrators responded favorably more often than executives and administrators. There were no strong differences between the Public and Technical Services.

Practical questions concerning the process' applicability to other libraries are size of library, interfacing with university objectives, improvements not otherwise attainable, and flexibility of the process.

Internal reservations about the effectiveness and unity of the Cornell Team can be tempered with the observation that they got the first year's work done with a definite plan for continuing the second year.

Teams as opposed to one-man planning, are necessary for large libraries with a complex organizational structure and a diverse program.

Participative management, by all levels of the organization, though not emphasized in AMA's process became an important factor and force in Cornell Libraries' Team planning. Cornell Libraries' existing level of participative management, compared to that in industry and other libraries, and its prognosis for improvement, gives reason to be optimistic.

The Planning Team at its last meeting dissolved itself by providing for a smaller Planning Council which would continue the planning process, and thus resolving the very difficult question concerning executive decision making.

The Team's considerable difficulty with the problems of formulating means for evaluating and measuring achievement of continuing and specific objectives points up the large gap in applied, systematic and quantitative research methods in university operations. Assumptions about many important library issues were extracted from the discussions and debate and were restated as examples of the kind of hypotheses which can be tested by data available in libraries.

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APPENDIX A

ORIGINAL PROPOSAL

THE DEVELOPMENT OF A LONG-RANGE STRATEGIC PLAN
FOR A UNIVERSITY LIBRARY

A Proposal to the Council on Library Resources

From the:
Cornell University Libraries
Ithaca, New York 14850

Project Director:
David Kaser
Director of University Libraries
(607) 256-3689

Authorized Officer:

Thomas R. Rogers
Director of Sponsored Research

Amount of Grant Requested:
\$27,733

Period of Proposed Project:
January 1--December 31, 1972

ABSTRACT

The need for long-range strategic planning has been identified as a high priority need in university libraries. Logic and experience suggest that few other effective management innovations are likely to be consummated in libraries until more adequate plans have been developed, yet efforts by libraries to date to engage in rational planning processes have proved relatively inadequate, and a new approach now appears to be in order. The Cornell University Libraries, as a fairly typical large university library system with much concern and some experience in planning as a management technique, propose to retain the American Management Association's Center for Planning to guide them through a comprehensive planning effort. Through research and experimentation the Center for Planning has developed great expertise in this area and has already worked similarly with more than 150 other companies and organizations in both the public and private sectors. Cornell now seeks a grant of \$27,733 from the Council on Library Resources to enable it to engage the Center's services in this way during 1972 and to provide a report and evaluation on the exercise to the university library community.

THE GENERAL SITUATION

Increasing attention has been directed in recent years to the matter of long-range planning in university libraries, most of it in the nature of animadversions upon its shortcomings and jeremiads upon the plight in store for libraries that do not shore up their planning efforts. Some of this recent concern for planning has resulted simply from growing awareness on the part of the librarians of the inadequacy of past planning efforts, but much also has clearly come out of the same fortunate confluence of library and management sciences that has produced so many other recent innovations and improvements in the administration of libraries.

It is important to note that today's concept of planning came into the general arena of management theory only a scant decade ago. Simple though it may sound, recognition of planning as "an impersonal organizational structure for determining future action" was not postulated until 1961.¹ Planning, in this modern sense, was wrapped almost immediately into evolving congeries of general management techniques, and word of its value quite promptly crossed the traditional disciplinary boundaries between general and library administration.²

1. P.P. LeBreton and D.A. Henning, Planning Theory, (Englewood Cliffs, N.J., Prentice-Hall, 1961).

2. Robert E. Kemper, "Library Planning: The Challenge of Change," pages 207-39 in Advances in Librarianship, Volume I, ed. by Melvin J. Voigt, (New York, Academic Press, 1970).

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A number of libraries put together crude long-range plans in the several subsequent years,³ a full-fledged dissertation on library planning was underway within five years,⁴ and within seven or eight years several large libraries had begun to codify and articulate their long-range objectives.⁵ Before the decade was out, at least two research libraries had established planning offices within their administrative branches.⁶

Regrettably, although understandably this initial work toward long-range planning in libraries was primitive, tentative, and based upon

3. See as examples: Joint University Libraries, 1965-1975, a Plan, Nashville, 1965; The Harvard University Library, 1966-1976, Report of a Planning Study, Cambridge, 1966; The Long Range Development Plan for the Pennsylvania State University Library System, 1965-1980, University Park, 1965; "The Next Decade at the University of Oklahoma Libraries," Norman, 1968; B. Stuart-Stubbs and W.J. Watson, A Plan for Future Services, Vancouver, University of British Columbia Library, 1969.

4. Robert E. Kemper, "Strategic Planning for Library Systems," Unpub. dissertation, University of Washington, 1967.

5. See as examples: University Library System Objectives, (London, University of Western Ontario, 1971); "Goals for the KSU Libraries, 1971-75," (Kent, Kent State University Libraries, 1971); "Objectives," (Muncie, Ball State University Libraries, 1971); "University Libraries: Statement of Goals and Objectives," (East Lansing, Michigan State University Libraries, undated); "Present Goals, Objectives and Policies," (Toronto, University of Toronto Library, 1970).

6. Joint University Libraries and Cornell University Libraries.

fallacious or questionable assumptions, traditions, or methodologies. Indeed it is not an exaggeration to state that no sound, effective, long-range library plan has as yet been developed anywhere. In fairness to libraries, however, it must also be observed that these same weaknesses have to a greater or lesser degree characterized the modern planning efforts in a host of other industries as well, both in the public and private sectors. Despite its weaknesses therefore, the current level of activity in this area may be seen as clear indication that there is indeed widespread need in the research library community for planning mechanisms of greater sophistication and utility than anything thus far developed.

A landmark survey was made in 1970 of management problems in university libraries. The surveyors were the consulting firm of Booz, Allen & Hamilton, under contract to the Association of Research Libraries and funded by the Council on Library Resources. In their report, BAH rightly pointed, as the first of eight major problem areas in university library management, to:

the need for more comprehensive library planning and budgeting systems, which, for the near and longer term, specify (1) the role and requirements of the library in relation to the academic program of the university; (2) the library's objectives and plans in support of academic programs; and (3) the library's resources (financial, personnel, and physical materials, facilities, and equipment) needed to implement agreed upon plans.

7. Booz, Allen & Hamilton, Problems in University Library Management, (Washington, D.C., Association of Research Libraries, 1970).

This report thus documents this matter as a high priority need on the national level, deserving of the attention of the best minds both within and outside of the academic library community.

THE SITUATION AT CORNELL

The Cornell University Libraries are a large library system, comprising some 3.8 million volumes, diversified in strength and dedicated to serving the comprehensive and complex teaching and research programs of the University faculties. The collections have long sustained a growth rate approximating five percent. The Libraries maintain a staff of some six hundred employees, of whom, 125 are librarians, 260 are full-time assistants, and more than two hundred are part-time employees, who work in fifteen libraries spread upon the main campus at Ithaca, the Experiment Station at Geneva, New York, and the Medical Center in Manhattan. They administer an annual budget in excess of \$5.6 million, of which \$3.5 million is payroll and \$1.6 million is for the purchase of new material. In most respects their profile is similar to those of the other large libraries in the land.

The Cornell University Libraries have long enjoyed a reputation for good management and service. Their collections are believed to be well selected, known to be well cataloged, and are obviously well housed. There is substantial strength, great stability, and considerable consensus on service aspirations throughout the staff, which may fairly be further characterized as quite progressive, creative, and committed to a continuing

quest for improvement. The climate for change is good.

In addition to their well-experienced conventional executive team, the Cornell University Libraries established in 1969 a new unit within their management framework under the direction of a Planning and Budget Officer. Key duties of this new staff Office include:

Responsibility for administrative planning and overall systems analysis; for program budget analysis; for development of long-range planning projections; for design, development and application of measures for cost analysis; for determining library applications of modern management tools such as operations research, input/output analysis, and cost-effectiveness analysis.

A man was drawn from industry to head this new unit, and since July 1, 1970, it has furnished much of the leadership in establishing advanced management techniques within the Cornell University Libraries.

Recent innovations in the administration of the Cornell University Libraries have occurred on a variety of fronts. They have included mechanisms for gaining wider-spread involvement in decision making; cost-effective computer utilization; strengthened programs of staff development and job identification, and of other personnel management techniques; market analyses; and experimentation in the application of advanced budget control systems.

A constant and gnawing frustration in the way of implementing with assurance management innovations of whatever kind, however, has derived from the absence of a clearly identified and carefully defined and agreed upon

set of goals and objectives--in other words, a "long-range strategic plan." Although there has doubtless always been staff unanimity behind a general aspiration to "maximize library service to the Cornell community," so broad a statement is of little help in the development of a sophisticated input/output analysis mechanism or the meaningful redeployment of staff and reallocation of resources over a more effective corpus of activities.

It is the judgment of the staff of the Cornell University Libraries that an urgently needed next step in the development of its own services--as is doubtless true in every other university library--is the determination of a strategic long-range plan and a program for its implementation. After studying several ways of gaining such a plan and program, Cornell has concluded that likely the most effective route to its accomplishment is to retain the services of the Center for Planning of the American Management Association to guide it through a rational planning process.

THE AMA'S CENTER FOR PLANNING

The American Management Association's Center for Planning and Development is located in Hamilton, New York. Over recent years the staff of the Center has led some 150 corporations, agencies, and associations, public and private, through comprehensive planning processes very similar to those felt to be needed at Cornell and in other university libraries. Such diverse organizations as Montgomery Ward & Co., Bristol-Myers Co., Pennsylvania State University, Griffiss Air Force Base, North Carolina

State Department of Education, McGraw-Hill Publishing Co., and the New York State Assembly have availed themselves of the services of the Center for Planning. The Center has never before worked directly with a research library; however since it does not create plans but rather leads its clients' staffs through the creation of their own plans, neither Cornell nor the Center staff view this as a deficiency. It has identified the strategies of planning that are generalizable to any organization, and it makes this expertise available to them.

A proven pattern of service frequently purveyed by the AMA Center for Planning comprises four steps as follows:

1) Preliminary Conference. At a preliminary conference of the Team Director (a member of the Center staff) and the chief executive of the client organization, the composition is determined of the six- to twelve-man executive team that will be directly involved in the planning process. The Director outlines the content and purposes of the planning process, reviews the organization's previous experience in planning, and obtains existing plans and pertinent background information on the client organization. They also identify requisite preliminary work assignments that will facilitate progress at subsequent stages in the planning effort.

2) First Five-Day Planning Session. The executive team of the client organization then spends five days in retreat at the Center's educational facility, where in addition to the Center's staff an array of sophisticated training hardware and software is also available. The objectives of this week are to:

a) agree upon a definition of the organization's purposes, the policies which will guide its future progress, its organization and manpower resources, and its fundamental characteristics;

b) analyze existing resources and identify strong areas that should be exploited and weak areas that should be strengthened;

c) establish tentative objectives for the long-term continuing development of the organization, and specific targets to be reached during the planning period;

d) determine the kinds of additional information that will be needed about specific aspects of the organization's enterprise to evaluate possible courses of action;

e) assign specific data-gathering tasks to members of the team and realistic due dates for assembling these data.

3) Interession for Data Gathering. An interession of from two to six months is then spent accumulating the data determined during the first retreat to be essential to the continuation of the planning process. Although the interession is kept as short as possible in order to conserve the momentum of the process, it is essential that all necessary input data be converted into, and presented in, a meaningful form before the second session begins. Input data are submitted to the Team Director who processes them through appropriate computer analysis to (a) determine the dynamic characteristics of the organization; (b) evaluate feasibility of preliminary objectives in view of conditions, outlook, and trends in the environment; and (c) organize the data for quick, pertinent reference during the final planning phase.

4) Second Five-Day Session. The executive team then repairs again to the Center for a second five-day session, ready now to:

a) define planning "gaps"--the difference between where the organization is going and where it wants to go:

b) modify preliminary objectives;

c) analyze alternative courses of action;

d) break down strategic courses into specific action assignments, listing exact standards of performance and estimated times of completion;

e) design specifications for supplemental planning efforts to be carried out in subordinate units of the organization;

f) agree on the timing, degree of detail and format in which planning decisions will be communicated by top management to other areas of the organization;

g) develop a guide for continuing planning.

Upon completion of this particular regimen made available by the Center for Planning, the client organization's executive team should have developed a set of skills necessary for continued effective planning: a working plan including both short- and long-term objectives and strategies for achievement; an action plan with assignments and deadlines; a system that insures control and continued vitality to the planning process; an explicit procedure for regularly revising and up-dating the plan on an established schedule; and a base upon which additional management techniques may be meaningfully structured.

THE PROPOSITION

The Cornell University Libraries therefore propose a three-way partnership of themselves, the AMA's Center for Planning, and the Council on Library Resources to attempt to develop a socially useful product in the form of a truly meaningful and effective long-range strategic plan for a university library. Cornell would invest the requisite time and energy of its staff--a staff that is recognized nationally as a good staff, dynamic, progressive, and in a posture both to effect, and to be affected by, innovation. The AMA's Center for Planning would invest of its substantial expertise, doubtless the most extensive ever accumulated anywhere, to guide the Cornell University Libraries through a planning process found from its long experience to be most appropriate to their needs, and, by extension, to the needs of the university library community. The Council on Library Resources would invest the capital, amounting to some \$27,733, necessary to bring this process to its most promising conclusion.

The purpose of this effort would be to bring the best possible combination of circumstances and resources to bear upon the need for long-range planning in university libraries, to learn if a research library can under optimum conditions indeed accomplish a long-range plan, and if so what its nature and impact upon library services and operations can be. If it proves to be a successful and beneficial exercise, either the total experience or its most useful components can presumably be reproduced elsewhere. The true beneficiaries therefore extend beyond the Cornell University Libraries to the

university library establishment generally and even moreso to the user communities they serve.

The specific program for action envisioned in this proposal would be spread over a calendar year. It calls for twelve days of services from the AMA's Center for Planning -- the two five-day sessions described above and two other days, one at the outset of the project and one at midpoint during which Center personnel would visit Ithaca and conduct appropriate seminars on planning not only for the executive team but for the entire academic staff of the Cornell University Libraries. This program also calls for the retention of an experienced library manager from somewhere other than Cornell to sit in on the entire process -- from the preliminary conference to the point where continued planning becomes integrated operationally into the Cornell library management--to serve as a rappporteur to the profession-at-large. This impartial observer, possibly a doctoral candidate in the Syracuse University library school, would devote half-time for one year to observing, recording, evaluating, summarizing, and eventually reporting the process to the larger library community for whatever value it can serve there. A final step in the process would be the preparation, by a member of the Cornell University Libraries staff, of another report to the profession three years after completion of the project, documenting its impact upon the Ithaca library scene.

The Cornell University Libraries and the AMA's Center for Planning stand ready to enter into this partnership. They seek now the participation of the Council on Library Resources.

BUDGET

Services of the American Management Association

Two one-day seminars for CUL staff	\$ 2,000
Two five-day retreats for exec. team	<u>10,000</u>
	12,000

Per diem for 10 members of CUL exec. team during 10 days at Center for Planning	3,500
--	-------

Rapporteur (one-half time, one year)	
Stipend	6,000
Fringes	980
Per diem during 10 days at Center	350
Other travel	300
Clerical help	500
Supplies and Expenses	<u>300</u>
	8,430

Overhead (at 58.5 percent of salary)	<u>3,803</u>
	\$27,733

APPENDIX B

AMA DOCUMENTS

1. Center for Planning and Implementation... offering a proven process to assure long-term growth.
2. Team Planning Process Program Schedule.
3. Planning Process Content.
4. A Planning Glossary.
5. Corporate Planning Glossary.
6. Internal and External Forces.
7. Outline of the First Week of the Planning Process.

Pamphlet

CENTER FOR PLANNING AND IMPLEMENTATION

...Offering A Proven Process to Assure Long-Term Growth

American Management Association

Material is found in the pocket on the inside of the back cover.

Phase #1, Pre-Process

Meet team and review program
Identify team expectations
Review history and status of the organization's planning efforts
Review planning process information needs
Assign responsibilities for gathering and analyzing data for appraisal of current status.

Phase #2, First 5 Days, In-Process

- A. Develop a Planning Base - assess present position, results and performance

Internal Analysis

Financial and operating performance
Business Classes
Products/Services
Major units/Functions
Resources and their allocation
Organization
Management approach, style and effectiveness
Current strategic game plan
Key result areas

Draw Conclusions

Progress relating to plan
Strengths/Weaknesses
Problems/Needs
Opportunities
Develop potential for corporate improvement

External Analysis

Industry structure
Environmental trends/developments
Economic
Social
Technical
Competitive
Etc.

Draw Conclusions -

Develop assumptions about economic social, political, technical and competitive trends and development as they affect "Demand" for the companies' products and services
Impact on company
a) threats/problems
b) opportunities
Indicated company action or response

- B. Develop a Broad Framework of Guidelines

Organizational purposes or mission
Policies
Beliefs or creed
Objectives - Continuing and specific

C. Develop the Planning Gaps

Present the planning gap concept
 Develop a base line or forecast
 Develop gaps for the principle objectives

D. Develop Strategies to Close the Planning Gap

Develop programs and plans to attain objectives
 Develop several detailed action plans to support programs

E. Prepare for work during Intersession Period

Identify additional planning data to be obtained
 Make appropriate work assignments with respect to objectives,
 programs and action plans
 Assign responsibility and due dates for completion of above.

Phase #3, Intersession Period (2-3 months)

Director meets with team at their location to review progress,
 maintain momentum, provide assistance, and prepare for the second
 week.

Phase #4, Second 5 Days, In-Process

Review intersession assignments
 Confirm objectives and other guidelines
 Confirm strategic program approaches to close planning gaps
 Review and validate specific action plans
 Translate action plans into resource requirements
 Test against resource capability
 Revise objectives and programs consistent with resource
 capabilities - bring system into balance
 Develop table of contents for written plan
 Develop a written plan
 Develop a planning guide for future planning
 Define organization's approach to planning
 Establish top management responsibility for planning
 Agree on organizational realignments needed for implementation of
 this plan
 Develop approach, procedure and timetable for continuing planning
 Develop appropriate linkages to short-range planning, budgeting,
 and control
 Develop program for carrying out planning effort at lower level
 in the organization
 Develop concepts and procedures for review and evaluation of
 progress relative to plan - control

Phase #5, Post-Process; 3 to 6 months after Phase #4

Review - Review corporate progress in introducing
the planning bases throughout the organization

Review - Action plan progress

Provide assistance, as necessary

PLANNING PROCESS CONTENT

I. DEVELOPMENT OF PLANNING BASE

- A. Internal Business Analysis - Self assessment process to determine the economic health, capabilities and potential of the organization with an orientation to improvement and results.
1. Business Classes - The sub-businesses within the organization analyzed by customer, by product line, by markets, by channel of distribution and by organizational components.
 2. Measuring Financial & Operating Performance - Historical analysis of key financial and operating data, including key measurements of performance and ratios, showing overall organizational performance.
 3. Resources - Those tangible and intangible things, such as money, managerial competence and facilities, that a company uses in the conduct of its business and the achievement of its objectives.
 4. Organization - Structure, communication lines, coordination of activities, depth, and a guideline for planning implementation.
 5. Current Strategic Game Plan - Identify key Strategies currently used to achieve profitable growth and development - include reliance on market development, product development, diversification, acquisition, integration and the pattern of growth and momentum.
 6. Key Result Areas - Areas of performance which are judged to be most critical to the long-term success of the business, such as profits, growth, productivity, innovation, etc.
 7. Strengths - Characteristics or resources of the organization which provide a definite competitive advantage. May imply an opportunity for exploitation beyond the present level of use.
 8. Weaknesses - Characteristics or deficiencies of the organization which result in a present or potential competitive disadvantage. May imply a threat or possible further loss of competitive position.
 9. Opportunities/Problems - Specific areas substantially within the control of the organization that offer possibilities for progress and improvement in the direction desired by management.



PLANNING PROCESS CONTENT

10. Management Values and Style - Identify and evaluate top executive style, approach and method of management, values, aspirations and philosophies.

B. External Analysis - To identify and interpret current and emerging trends with a product/customer/market emphasis. To search for opportunities that match your capabilities.

1. Industry Structure - Including profitability, markets, products, pricing, margins, costs, economics of scale, integration patterns, growth trends and patterns, barriers to entry, critical functions, government restrictions, controls, and constraints.
2. Environmental Trends and Developments - Identification and evaluation of significant trends and developments in the economic, social, political, technological and competitive environments which could have an impact on the enterprise and over which the organization has little or no control.
3. Competitors - The analysis of the number, size, location, strategies, and strengths and weaknesses of your major competitors.
4. Environmental Opportunities/Problems - Specific areas outside the organization that (a) offer possibilities for favorable exploitation leading to progress or improvement in the directions desired by management or (b) pose significant problems and/or threats to the future growth and profitability of the enterprise.
5. Environmental Assumptions - The development of a framework of assumptions or "givens" concerning the future -- basic to the development of enterprise plans.

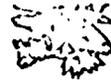
II. DEVELOP BROAD AND SPECIFIC GUIDELINES FOR ACTION

- A. Basic Purpose (Mission) - Broadest and most comprehensive statement of purpose which defines the nature of the business, and/or the function which the enterprise intends to perform within the economy. (Often referred to as Mission). The statement provides a focus for the allocation of the resources of the organization.



PLANNING PROCESS CONTENT

- B. Basic Guidelines - General statements or understandings which guide and channel the thinking, decisions and actions of management toward the achievement of organizational objectives. (Often referred to as Policies).
 - C. Basic Objectives - Qualitative or quantitative statements of continuing intent of the organization which describe what results the enterprise wants to achieve and what it wants to become.
 - D. Specific Objectives - Explicit quantitative statements, consistent with continuing objectives which specify the results to be achieved at a definite point in time and can be measured in terms of accomplishment.
- III. DEVELOP THE BROADLY STATED MEANS (STRATEGIES) OF DEPLOYING RESOURCES TO ATTAIN ORGANIZATIONAL OBJECTIVES
- A. Identification and evaluation of key operating and financial data.
 - B. Reappraise environment forecasts and their impact on the enterprise.
 - C. Test the objectives for validity and feasibility.
 - D. Develop the base line momentum of the organization for each of the key objectives.
 - E. Develop the planning gaps - the differences between the organization's agreed base line for each of the key objectives and the objective itself.
- IV. PROGRAMS - The breakdown of the major strategy manageable areas of activity. Each program is supported by an analysis of its contribution to the objective and the resources required for its implementation.



PLANNING PROCESS CONTENT

- A. Selection Criteria - Cost/benefit, compatability, capability, risk, timing, etc.
 - B. Trade-Off Study
 - C. Action Steps - Required to implement programs including cost/benefit evaluation, a due date, and the responsible individual for completing each step.
- V. PLANNING PROCEDURES - Outline of how the steps involved in strategic planning will be incorporated into the overall activities of the organization and how the implementation of the plan will be reviewed and controlled.
- A. Agree on organizational responsibility realignment needed for implementation of plan.
 - B. Develop appropriate linkage to short-range planning and control.
 - C. Develop concepts and procedures for review and progress relative to plan (control).
 - D. Develop program for carryin. out planning effort at lower levels in the organization.
 - E. Develop approach, procedure and timetable for continuing planning.

A PLANNING GLOSSARY

Mission
Internal Analysis
External Analysis
Objectives
Intersession Assignments
Priorities
Strategies
Programs
Planning Schedule

MISSION

The broadest, most comprehensive statement that can be made about central or continuing purpose. The chief function or responsibility of an organization which justifies continuing support of the organization by society and which provides initial direction for the management or administration of the organization. The purpose of the mission statement is to provide a focus for the resources of the organization.

INTERNAL ANALYSIS

A catalog of factors which collectively describe the nature of the institution, its capability and limitations; this analysis is to be restricted to those factors which are within the control of the institution and which play a significant role in determining the most appropriate course of action for the institution.

Topics to be considered, among others, will include:

- Organization
- Beliefs
- Basic Policies
- Characteristics
- Functions
- Resources
- Strengths
- Weaknesses

EXTERNAL ANALYSIS

A catalog and analysis of those factors, outside of the control of the organization, which serve as constraints or whose interaction with the organization determine the appropriate behavior modes for the organization.

For each of the critical factors identified the team will make explicit assumptions describing expected trends in each of these areas for the planning period. While these factors are beyond the control of the organization there should be a common understanding of the trends, rate of change and kind of change anticipated in each of the areas. This will insure that all plans will be based on the same assumptions about the future.

OBJECTIVES

Statements of desired results or ends to be achieved. Objectives should be stated in quantitative terms or in a manner which specifies the means for evaluation. Objectives may be short or long range, time related or continuing in nature, depending on their place in the hierarchy of objectives.

Objectives or ends should be clearly differentiated from the means to be employed to achieve the desired results.

INTERSESSION ASSIGNMENTS

Assignments are to be made to insure that adequate data will be available to intelligently proceed with developing and evaluating strategies to implement each specific objective.

1. Suggested assignments:
 - a. Historical performance data to form a basis for base line projections. Should be developed for key result areas, critical environmental factors and objectives.
 - b. Cost data for probable critical expense items required to develop cost/benefit analysis for alternative means of achieving objectives.
2. Develop a list of data required to perform overall evaluation or organizational performance in relation to mission or other criteria of performance.

PRIORITIES

Objectives must be ranked in order of priority in order to make appropriate allocations of resources.

Priority decisions should be made based on the team judgment of the relative importance of objectives when considered in relation to significant criteria.

Frequently used criteria are:

1. Sense of urgency.
2. Cost of implementation.
3. Probability of success.
4. Long-term benefit vs. short-term.
5. Public demands.

STRATEGIES

Statements of the means which will be employed to achieve the results specified in the objectives.

Strategizing offers the greatest opportunity for creativity. Several alternatives should be developed and evaluated in a cost/benefit analysis before a final strategic decision is made.

PROGRAMS

Specific results, the responsibility for which has been delegated to a particular person and a mutually acceptable target date has been agreed upon. The sum of all programs will equal the results anticipated in the specific objectives.

PLANNING SCHEDULE

The schedule of events and required target dates necessary to insure that systematic, formal strategic planning will become an organizational "way of life."



CORPORATE PLANNING GLOSSARY

American Management Association
Center for Planning and Development
Hamilton, New York

6/70

BELIEFS

Statement of the organizational philosophy regarding matters of "belief," and/or the code of ethics which governs the actions of the organizations.

MISSION

Broadest and most comprehensive statement of purpose which defines the nature of the business, and/or the function which the enterprise intends to perform within the economy.

BASIC POLICIES

General statements or understandings which guide and channel the thinking, decisions and actions of management toward the achievement of organizational objectives.

PERSONALITY PROFILE

The unique collective personality of an organization corresponding to an individual personality.

RESOURCES

Those tangible and intangible things, such as money, managerial competence and facilities, that a company uses in the conduct of its business and the achievement of its objectives.

STANDARD BUSINESS CLASSIFICATIONS

The sub-business within the local organization analyzed by customer, by product line, by markets, by channel of distribution and by organizational components.

INTERNAL BUSINESS ANALYSIS

Historical analysis of financial and operating data, including key measurements of performance and ratios, showing overall organizational performance.

ENVIRONMENT/ASSUMPTIONS

The monitoring, evaluation and development of assumptions concerning those factors in the socio-economic, political, technological, and competitive environment which could have an impact on the enterprise, and over which the organization has little or no control.

COMPETITORS

The analysis of strengths and weaknesses of your competition.

STRENGTHS

Characteristics or resources of the organization which provide a definite competitive advantage. May imply an opportunity for exploitation beyond the present level of use.

WEAKNESSES

Characteristics or deficiencies of the organization which result in a present or potential competitive disadvantage. May imply a threat or possible further loss of competitive position.

KEY RESULT AREAS

Areas of performance which are judged to be most critical to the long-term success of the business, such as profits, growth, productivity, innovation, etc.

OPPORTUNITIES

Specific areas within and/or outside the organization that offer possibilities for favorable exploitation leading to short-term progress or improvement in the directions desired by management.

CONTINUING OBJECTIVES

Qualitative or quantitative statements of continuing intent of the organization which describe what results the enterprise wants to achieve and what it wants to become.

SPECIFIC OBJECTIVES

Explicit quantitative statements, consistent with continuing objectives which specify the results to be achieved at a definite point in time and can be measured in terms of accomplishment.

PLANNING INPUT ASSIGNMENTS

Quantitative information required to examine and evaluate operating and financial trends in the key result areas, appraise external environmental trends, test objectives for validity and feasibility, measure and allocate resources, and lastly test strategies, programs and action plans.

DATA ANALYSIS

Historical analysis of key financial and operating data, including key measurements of performance and ratios, showing overall organizational performance; and the analysis of the external environmental trends and developments affecting the organization.

PLANNING GAPS

The differences between the organization's agreed to momentum line (or base line) for each of the organization's specific objectives and the specific objective itself.

STRATEGIES

The broadly stated means of deploying resources to attain organizational objectives.

PROGRAMS

The breakdown of a major strategy into manageable areas of activity. Each strategic program is supported by an analysis of its contribution to the objective, and the resources required for its implementation.

ACTION ASSIGNMENTS

The outline of key action steps required to implement a strategic program, including a due date and the responsible individual for completing each step.

PLANNING PROCEDURES

The outline of how the steps involved in strategic planning will be incorporated into the overall activities of the organization and how the implementation of the strategic plan will be reviewed and controlled.

TIME SCHEDULE

A calendar of due dates and responsibilities for following the planning procedure throughout the year.

INTERNAL AND EXTERNAL FORCES

Planning for the future begins with a realistic understanding of existing conditions. Along with an analysis of the financial, marketing and production data, it is necessary to evaluate other factors which can affect the future course of the business such as the corporation's mission, beliefs, and basic policies as well as its strengths and weaknesses. An understanding of external forces which affect the business is also necessary. To facilitate the first week's planning schedule, each team member is requested to note his thoughts in connection with the following:

1. Mission (Definition--Broadest and most comprehensive statement of the purpose of the business). (See schedule 4, page 1)
2. Beliefs (Definition--The code of ethics which governs the business). (See schedule 4, page 2)
3. Basic Policies (Definition--General statements which guide the thinking, decisions and actions of management toward the achievement of objectives). (See schedule 4, page 3)
4. Strengths (Definition--Characteristics of the organization which provide a competitive advantage and which may imply an opportunity for exploitation). (See schedule 4, page 4)
5. Weaknesses (Definition--Deficiencies of the organization which may result in a competitive disadvantage). (See schedule 4, page 5)
6. Competitors--list competitors and their strengths and weaknesses.
7. Environment (Definition--Those socio-economic, political, technological, and competitive factors which could have an impact on the enterprise and over which it has little or no control).

Use the above sheet to jot down your notes in connection with each of the above and bring to the first planning session.



MISSION

Definitions. A statement as to what business you are in and want to be in during your planning period.

Importance in Planning. The Mission is the keystone on which your planning structure is built. It does three things:

1. Establishes parameters around your planning.
2. Provides focus to your planning. By directing your resources into an agreed channel of activity, diffusion of effort will be minimized.
3. Unifies the Management. It is essential in planning that all key team members are committed to the same direction and all pull together.

Relationship of Mission to the Overall Plan. In establishing and periodically reviewing a plan, the mission statement is often modified. The type of business may change or, more often, the mission will be broadened or narrowed. This happens through the following:

1. Internal analysis of the organization's strengths and weaknesses and history of performance may indicate that resources are either under or over utilized against the mission.
2. External analysis may indicate that, with the stated mission, opportunities are not being fully exploited or, on the other hand, do not exist.
3. Desired objectives may require strategies excluded by the mission, necessitating a change either in the objective or the mission. For example, a growth objective depending on a strategy for entering a new market excluded by the mission.

Example of Mission

To be a leader in the design, development, production and marketing of selected quality, electronic components for industrial and military uses.

BELIEFSDefinition

Belief: Statement of the corporate philosophy regarding matters of "belief", and/or the code of ethics which governs corporate actions.

Characteristics

1. Must represent true conviction of the management, otherwise statement becomes an empty gesture.
2. Should not be concerned with profits, ROI or nature of the business, but only with the attitude of the organization toward the people with whom it deals and the community in which it resides.

Importance in Planning

1. Provides a broad perspective of the business. Acts as a reminder for management that while concern for profits and growth in planning are necessary, it is also necessary to consider the organization as a potential instrument for bringing about the betterment of society and the individual.
2. Sets as a broad policy which no phase of planning can violate.

Example of
Beliefs

To develop the respect of and balance that interests of our customers, employees, shareholders, supplies, and the community in an atmosphere of integrity.

BASIC POLICIES

Definition - General statements or understandings which guide and channel the thinking, decisions and actions of management toward the achievement of organizational objectives. The ultimate authority for policies resides in the CEO and the Board of Directors.

Difficulties

Because of the subject matter of a policy, it is often confused with objectives or strategies. They are fundamentally different, e.g.:

1. Policy vs Objective. Policies, particularly limiting policies, establish an arbitrary limit which cannot be exceeded without an administration response, e.g., if your policy is "No more than 20% of sales from one account," sales orders in excess of the figure will not be accepted. If the above policy were stated as an objective, however, it could be violated and one would simply strategize to reform the desired market balance.
2. Policy vs Strategy. The total policy structure is strategic in nature since it requires or prohibits certain types of strategic action. However, the policies themselves should not be looked upon as strategies but only as guiding or limiting statements which must be considered when strategic deployment of resources are later decided.

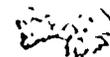
Importance in Planning

A well structured written set of policies will:

1. Help sharpen and better define your mission
2. Avoid the need for making the same decision over and over again
3. Insure that strategic efforts are not being wasted in areas not acceptable to the management.
4. Provides measurable parameters for certain critical performance areas, which cannot be exceeded without triggering a managerial response.

Examples of Policies

1. Will not sell to Government.
2. Capital investments will be evaluated on a discounted cash flow basis.
3. Short term investments will be made with surplus cash at the highest rate of return while insuring the security of the principle.
4. Management will develop and maintain short (1 year) and long term (3-5 years) plans.
5. Limit the number of policies of the Company in order to encourage individual initiative and judgment.

Examples of
Strengths

Schedule 4

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1. National Sales and Distribution System
2. Sales and Service Image
3. Quality Product Reputation
4. Corporate Citizen Image
5. Broad Product Base
6. Pricing Leverage
7. Labor Relations Climate
8. Excess Capacity
9. Plant Facilities
10. Labor Costs
11. Quality Control
12. Purchasing
13. Production Control System
14. Large skilled labor pool
15. Simplicity of Process
16. Financial Resources
17. Financial Control Systems
18. Credit Management
19. Investment Methods
20. Financial Community Relations
21. Patent Position
22. Results oriented R and D
23. R & D/Manufacturing/Marketing Coordination
24. Cost/Benefit of R and D
25. Standards of Performance
26. Personnel Development
27. Personnel and Financial functions supportive to management



Examples of
Weaknesses

1. In natural growth market.
2. Lack of backup personnel.
3. Rapid expansion program (usual growth problems).
4. Lack of adequate training program (manufacturing).
5. Lack of machine maintenance program.
6. Lack of water (Plant A).
7. Excessive proportion of old equipment (Plant A).
8. Lack of a confirmed cost system and standards.
9. Lack of adequate simple facilities and control.
10. Lack of quality labor potential.
11. Lack of optimum grading standards.
12. Excessive rework and rehandling.
13. High turnover of personnel.
14. Consistency of yield.
15. Lack of control - contact manufacturing.
16. Accurate productivity standards - re-evaluated.
17. Inability of corporation to make timely decisions.
18. Long-term machinery commitments have possibility of obsolescence.

OUTLINE OF THE FIRST WEEK OF THE PLANNING PROCESSMonday

- Introduction to the Team Planning Process
- Review personality/organizational profile
- Develop mission
- Develop beliefs, or code of ethics
- Develop basic policies

Tuesday

- Review and define strengths and weaknesses
- Review and define key result areas
- Review operating performance trends
- Establish business classes (components of the business) and impact on the system
- Discuss problem areas, challenges and opportunities

Wednesday

- Establish environmental factors; make assumptions based on these factors
- Discuss and determine overall quantitative objectives
- Evaluate objectives--in light of planning base previously established
- Refine objectives and arrange by priority
- Determine qualitative objectives; refine, and arrange by priority
- Review applicable historical data
- Determine base lines for major quantitative objectives
- Resolve/Clarify major gaps--base line vs. objective

Thursday

- Study typical strategies/programs for major objectives. These examples are reviewed, and groundwork is laid for preparing strategies/programs to fit objectives previously determined by team.
- Action plans for one or more of the above typical programs are studied in detail to provide basis for team's preparation of action plans for their programs
- Methods for validating objectives are discussed. Typical examples are reviewed. Data requirements to verify Team's objectives are determined. A schedule indicating data gathering and validation is determined.

OUTLINE OF THE FIRST WEEK OF THE PLANNING PROCESS, ContinuedFriday

- General review of work accomplished thus far
- List of all work to be accomplished prior to second week--
assign responsibilities
- Review schedule for the second week of the Team Planning
Process

Tentative Intersession Assignments

- Validate objectives
- Identify strategies/programs for all quantitative and qualitative
objectives
- Document strategies/programs for quantitative objectives on
cost/benefit basis, considering impact on all objectives.
(Documentation includes people, money, and material/facilities
costs)
- Estimate cost and write action plans for each qualitative
objective. (Determine costs in terms of people, money and
material/facilities)

APPENDIX C

DOCUMENTS OF THE PLANNING EFFORT

1. What We Want to Get from the Planning Process.
2. Strengths.
3. Weaknesses.
4. Environment/Assumptions.
5. Key Strengths.
6. Key Weaknesses.
7. Challenges/Opportunities.
8. Crucial Problem Areas.
9. Key Result Areas.
10. Competition/Competitors.
11. Environmental Analyses.
12. Statement of Mission. (Basic Document)
13. Guiding Principles. (Basic Document)
14. Basic Policies. (Basic Document)
15. Continuing Objectives. (Basic Document) (Not included).
16. Continuing and Specific Objectives. (Basic Document)
17. Levels of Priority. (Basic Document)
18. Strategies (Not included). (Basic Document)
19. Referrals by Name, Not Including Priority Levels (Not included).
(Basic Document)

20. Structure and Technique for a Continuing Planning Process at Cornell University Libraries. (Basic Document)
21. Things to do.
22. Take Home Tasks.



February 14, 1972

CORNELL UNIVERSITY LIBRARIES

What We Want to Get From the Planning Process

1. Develop concept of a team.
2. Anticipatory crisis orientation.
 - (a) Problem prevention attitude and results.
3. Consensus on mission and objectives and strategies.
4. Clarification of the decision-making process.
5. "A plan"--that is numerically measurable.
6. Establishment of priorities.
7. Adequate "measurable units" for a library system.
8. Definition of "myths" and possible "fallacies".
9. Rational structure for day-to-day operating decisions.
10. Conceptualize/Rationalize a 3-level plan.
 - (a) 20 years out
 - (b) 8 years out
 - (c) 1 to 3 years out
11. Development of human resource skills.

CORNELL UNIVERSITY LIBRARIES

Strengths

Draft #2 (With duplication deleted)

Characteristics or resources of the organization which provide a definite advantage. May imply an opportunity for exploitation beyond the present level of use.

Comments from some team members submitted prior to the first week's session.

1. Size, tradition, image, quality of staff.
2. Youth of the collection.
3. Recency of catalogs.
4. Quite good plant.
5. High reputation.
6. Credibility among faculty.
7. Credibility within administration.
8. Operating manuals
9. Geographical location.
10. Allegiance of staff.
11. Pride.
12. High performance standards.
13. "Open" management.
14. Sensitivity to faculty needs.
15. Solid middle management.
16. Satisfactory funding.
17. Reasonable administration in university.

CORNELL UNIVERSITY LIBRARIESStrengths (Continued)

18. Staff is conscientious.
19. Excellent basic book collection.
20. Notable special collections.
21. Capable and loyal staff in most key positions.
22. Good supply of well-educated help.
23. New promotion plan for librarians.
24. Executive staff abreast of new developments and open for suggestions.
25. Established channels of communication.
26. Managers on the Department levels that are able to operate without strong top-management guidance.
27. Librarians who are young, imaginative and not tied strongly to history.
28. Director nationally known.
29. Scholarly professional personnel.
30. Library centrally located.
31. Faculty library minded.
32. Cornell prestigious university.
33. Almost all staff members involved in decision making.
34. International staff composition.
35. Library policy of promotion from within.
36. Training programs for staff members.

CORNELL UNIVERSITY LIBRARIES

Strengths (Continued)

37. University and Library policy on taking courses at University.
38. University degree program.
39. Alumni interest in Library.
40. Strong professional staff in terms of both local responsibility and national leadership.
41. Competent supporting staff.
42. An institution that provides an environment of accomplishment.
43. Several strong component libraries in a library system.
44. Good relations with students.
45. The collections range from adequate to superior, none are inadequate.
46. Good salary scale and fringe benefits.
47. Academic status is good, faculty status would not help.
48. Good relationships with other libraries.
49. Staff is generally capable, responsible, interested in achievement and receptive to innovations. (The latter quality may vary to greater degree than first three named.)
50. Traditions of excellence.
51. Cooperation with other institutions is a partially realized strength which may be a greater future force.
52. Good climate for staff participation in wide-range of activities.
53. Responsive director - listens to ideas.
54. Willingness to experiment in cooperative projects, new ways of doing things, etc.
55. Sincere desire to improve the organization - self critical.

CORNELL UNIVERSITY LIBRARIESWeaknesses

Draft #2 (With duplication deleted)

Characteristics or deficiencies of the organization which result in a present or potential disadvantage. May imply a threat or possible further loss of position.

Comments from some team members submitted prior to the first week's session.

1. Size and growth rate, lack of efficient bibliographical resources and techniques, decline of availability of scholarly human resources.
2. Absence of media services.
3. Inadequate funds.
4. Poor statistical/cost data.
5. Unfinished integration effort.
6. Poor non-professional staff involvement.
7. Performance evaluation.
8. Decentralized special collections.
9. Labor intense activity.
10. Collecting policy special collections.
11. Endowed versus state.
12. Staff has not coped with problem of change in administrative viewpoint concerning authority.
13. High turn-over both on professional and supporting staff level.
14. Persons rewarded more for longevity than for quality of work.
15. Manpower development practically nonexistent from a centralized level.

CORNELL UNIVERSITY LIBRARIESWeaknesses (Continued)

16. Executive staff does not function.
17. Librarians Assembly is more of a governing body in theory than in practice.
18. Inability to borrow money for capital improvements against future returns.
19. Division between endowed and state colleges causes some difficulties including:
 - a. Efforts toward centralized processings, unified policies, etc. are hampered.
 - b. Duplication of purchases and services.
 - c. Differences in personnel benefits which are bad for staff morale.
20. Lack of Assistant Director for Readers' Services.
21. Certain libraries such as FAL need space badly.
22. Objectives and priorities of Executive Staff not always clear to the rest of the staff.
23. Academic and Administrative staff unsure of what kinds of decisions should be made at the various levels of authority.
24. Career development opportunities for staff not as good as they could be.
25. Personnel policies should be better defined and evenly enforced.
26. Lack of a clearly defined, workable administrative structure.
27. An over emphasis on rule by democracy that makes decision making slow without noticeable improvement in quality of decisions.

CORNELL UNIVERSITY LIBRARIESWeaknesses (Continued)

28. A barely adequate number of professional staff who because of the high turnover among the non-librarian and the constant need for basic training of new employees find themselves using far too many "after hours" to do any serious planning.
29. Some staff members take myopic approach on library problems.
30. Crowded work conditions in some departments.
31. Lack of standards.
32. Cornell University Libraries leader in library field.
33. Due to size of some Libraries unable to take annual inventory in all Libraries.
34. Weeding program not developed fully.
35. Some staff members not performing to full potentiality.
36. Some staff members performing at sub-standard level.
37. The librarian stereotype.
38. The awkwardness of a large system and lack of cooperation within the system.
39. Some uncataloged and old classification materials including area classification.
40. Lack of reserve personnel that could be used for R. and D.
41. No systematic publication program.
42. Difficulty in communication with the university administration.
43. Some library-type programs are getting started without us.
44. Good to superior resources and service have come to be taken for granted and there is some consequent lack of support for "typical" activity.

CORNELL UNIVERSITY LIBRARIES

Weaknesses (Continued)

45. Administrative weaknesses: (applies to endowed campus particularly)
- a. lack of planning
 - b. lack of a clear cut and generally understood administrative process, especially at the executive level. There is constant fluctuation between participative management and absolute authoritarianism. For example: Participative decisions recently included the establishment of a professional orientation program and an office of Co-ordinator of Public Services. On the other hand unilateral or bilateral decisions were made in such cases as the establishment of a Video Center, and an Information Services Office. Recently plans to discontinue these plus the Oral History Program were not discussed with Executive Staff. Other examples: decision to use MMI training, and decision to participate in the present kind of planning effort. Even the decision to select part of the group by election was a unilateral one.
 - c. the MMI training program is questionable for improving managerial performance.
 - d. Inability of the organization to respond with reasonable speed to needed changes.
 - e. Repeated use of same employees in committees and other staff work. Such work is frequently regarded as interesting and stimulating.
 - f. If there are over-all priorities, these are not generally known to the administrative staff. The feeling is that priorities do not exist except as they are made on a day-to-day basis to face a current crisis.

Within departments priorities of the unit are also frequently unknown to the staff affected by the.

46. Lack of full faculty support.

47. Confusion among Administrative Staff about nature of library system. Is it a single, unified system or an association of quasi-autonomous units?

CORNELL UNIVERSITY LIBRARIES

Weaknesses (Continued)

Autonomous management is most pronounced in state libraries and Law Library, but also exists in some respects in other college libraries.

48. Too much emphasis is being placed on the librarian/manager. Librarian/bookman talents neglected.

49. Current financial pressures put emphasis on current demands, neglecting the obligation to future generations. Particularly true of the book funds.

50. There is uncertainty of the priority to be placed on obligations to the state, to other libraries and other research institutions.

51. No system for identifying departments where morale is bad and for effecting changes which will improve it.

52. Extended input from students and faculty needed.

53. Confusion in objectives - self-fulfillment vs. doing the job. Long term vs. short term goals.

54. Lack of coordination and guidelines in some areas - Readers' Services most obvious. Most initiative seems to be from "below" rather than "above."

55. Communications - still needs improvement especially between director and middle-managers. Problem - role of assistant directors and communication between them. We sometimes communicate trivia and omit major policy items.

56. Losing some of our earlier flexibility and ability to respond quickly to a given problem. Relates back to problem of decision making. More of a bureaucracy with democratic overtones.

57. Trend towards politization and development of "fractions." Is this being encouraged by the administration as more in line with the "faculty image?"

CORNELL UNIVERSITY LIBRARIESWeaknesses (Continued)

58. Undeveloped staff training program.
59. Lack of a centralized holdings record for all library materials in the system.

CORNELL UNIVERSITY LIBRARIESEnvironment/Assumptions

The monitoring, evaluation and development of assumptions concerning those factors in the socio-economic, political, technological, and competitive environment which could have an impact on the enterprise, and over which the organization has little or no control.

It is suggested that environmental factors be analyzed in terms of: history or trend/planning assumptions/ impact on the organization (threat or opportunity)/possible action alternatives, etc.

Comments from some team members submitted prior to the first week's session.

1. Academic activities of university in its endowed and state units.
2. Status of higher education in the 1970's.
3. Uncontrolled academic program.
4. Complex University administration.
5. Declining availability of money.
6. Ill repute of higher education.
7. Unknowledgeable press to cooperate.
8. Societal emphasis on visual education.
9. Seemingly endless inflation.
10. Opening up of China? North Korea? North Vietnam? Cuba?
11. Shift from academic to administrative control over higher education.
12. Continuation of publishing growth.
13. Continuation of population growth.
14. "Levelling" in education
 - e.g. breakdown private and public
 - e.g. common fund level statewide

CORNELL UNIVERSITY LIBRARIESEnvironment/Assumptions (Continued)

15. Atmosphere moving towards cooperation nationally and regionally.
16. Growth of anti-higher education feelings.
17. The rise of the computer.
18. Recession with inflation.
19. Program changes within the university.
20. Social revolutions.
21. The attitude toward education, students and faculty by the political party in power nationally.
22. New technological developments are rapidly changing traditional library practices especially in the area of technical services (e.g. Ohio College Library Center cataloging system, IDC searching system, etc.)
23. New micrographic techniques offer possibilities for libraries to collect whole categories of materials such as back runs of journals, government documents, etc. in formats which are economical both to buy and store.
24. Equipment for using micrographic formats is constantly changing and not standardized at present.
25. Fluctuation in the value of the dollar affects the library's ability to purchase abroad.
26. The library's share of the university budget cannot indefinitely go up to match the ever growing costs of running the library.
27. High cost of professional staff will force added reliance on para-professional personnel.
28. Future emphasis of the university may be on upper-class and graduate education.
29. New fields of study will emerge and need library support.
30. New teaching methods may make new kinds of demands on the library.
31. Importance of library consortia and networks (also other methods of cooperation among libraries) is increasing.

CORNELL UNIVERSITY LIBRARIANSEnvironment/Assumptions (Continued)

32. The University Administration can and does change or add academic programs without notifying the Library Administration or providing extra funds that may be needed to expand a particular subject area. The budget is given to the Library with a minimum of input from the Library.
33. U. S. Foreign affairs policy which can rapidly open up new areas of interest for academicians.
34. High cost of book.
35. University users expect same good service in time of budget cuts.
36. Library not always advised of new University programs.
37. Inflation affects cost of all services.
38. Difference in Statutory and Endowed salary scales.
39. New York State budget.
40. Status of librarian.
41. Ithaca location and weather.
42. Socio-economic
 - a. Loss of confidence in universities.
 - b. Inflation-Devaluation.
 - c. Class mobility of a college education.
43. Political
 - a. Relations with SUNY.
 - b. Budget in Albany.
 - c. Education identified with liberal political philosophy.
 - d. Role of the federal government in education.
44. Technological
 - a. Uncertainty of the future of library technology -- miniturization, computerization.
 - b. Gap between general expectations and specific results.
45. Competitive
 - a. Tension between cooperation and competition.
 - b. Competition for grant funds.

Environment/Assumptions (Continued)

46. Government relationships to higher education.
 - a. Extent state and federal governments will plan for higher education unknown.
 - b. Also controls on higher education and support unknown.
47. New directions university programs will take cannot be predicted.
48. Inter-disciplinary programs - future unknown.
49. Impact of technological advances unknown.
50. Enrollment patterns are changing and will continue to change. Impact unknown for such changes as difference in socio-economic backgrounds of students, continuing education and adult education programs. Changing market for university trained youth may also affect enrollment pattern.
51. Co-operative projects among research libraries - future unknown.
52. Cooperative programs - a proliferation and sometimes not dovetailing. May crease as well as solve problems e.g. OCLC - Cataloging standards lower than our own. Pressure to join or be labelled uncooperative and short-sighted.
53. Political
 - a. Special obligations to N.Y. State residents through tax support of contract colleges - e.g. NYSILL, SCRLC.
 - b. Over-expansion of education - are the tax-payers "fed-up" as evidenced in school bond voting?
54. Educational - Changing patterns in the style of education, more unstructured learning and adult education. How to define our user community?
55. Technological
 - a. Micro reproduction - implications for storage and service.
 - b. Computer applications - simplify some jobs now absorbing much manpower.
56. Economics - Four day work week or its variants - would change patterns of service.

CORNELL UNIVERSITY LIBRARIES

Key Strengths

1. Quality and depth of staff
2. Size and quality of collections
3. Credibility within the university community
4. Reasonably good physical plant
5. Recognition of the need to innovate
6. Recognition of the need to communicate

Key Weaknesses

1. Unclarity of decision making process
2. Management of turnover of non-professional staff
3. Organization Structure
 - A. Pyramidal more amorphous than \triangle

CORNELL UNIVERSITY LIBRARIES

Challenges/Opportunities

1. Increasing appearance of executive solidarity
2. Utilization of technology, especially next 3-5 years
3. Developing service capability in "non-print forms"
4. Sustaining quality in the face of shrinking resources
5. Optimum utilization of staff
6. Active development of "outreach services"
7. To plan effectively - the planning process
8. Interface with external information sources
9. Active program of outside fund raising
10. Internal development of staff commensurate with increasing expectations
11. Identification of mechanisms for effective/valid cost to benefit judgements
12. Sustain/improve image



February 16, 1972

CORNELL UNIVERSITY LIBRARIES

Crucial Problem Areas

1. Special collections - cost, relation to other library resources, availability to acquire, how to handle.
2. Preservation - physical books, papers, etc.
3. Determining a strategy of withdrawal (Progressive retrenchment)
4. Expansion and maintenance of card catalog
5. Inadequacy of user access to serial records.
6. Labor intensity of cataloging.

CORNELL UNIVERSITY LIBRARIES

February 17, 1972
 REVISED Feb. 17, 1972-1

Key Result Areas

<u>Areas (2)</u>	<u>Measure/Indicator</u>	<u>Performance Trends</u>	<u>PAR</u>	<u>Tentative Objectives</u>
1. Delivery	1. User satisfaction 2. "Batting Average" 3. Dollar/cost/value of service 4. Criticism	1. Circulation 2. " 3. " 4. Increasing	1? 2? 3? 4?	1. Set up mechanism to test 2. Set up goals 3. Establish/test a model 4.
2. Preservation				
3. Selection system				
4. Organization - physical & intellectual				
5. Staff performance & satisfaction				

CORNELL UNIVERSITY LIBRARIESCompetitors

Comments from some team members submitted prior to first week's session.

1. Computer based info services.
2. Other libraries:
 for personnel
 for materials (occasional)
3. Private collectors.
4. Other University departments for funds.
5. Other university programs and special interest groups.
6. Most of these do not have the image to attract funds as compared to the library, however, they may have faculty clout.
7. Other libraries (grant money, staff, collections).
8. Other departments in university (money).
9. Other information-providing agencies (SDI services, Scientific research organizations, Information retrieval services).
10. Library must compete with other University programs for funds.
11. Library must compete with other institutions and Libraries for collections.
12. Library must compete in national market for professional staff members.
13. Library must compete nationally for grants, etc.
14. Other university programs representing special interest groups, glamor subjects or strong "lobbies." These could include blacks, undergraduate education, sciences.
15. Other libraries who use Cornell as a recruiting ground for staff, usually with the lure of more rapid promotion.
16. Other libraries with more money for collection development and special collections.

CORNELL UNIVERSITY LIBRARIESCompetitors (Continued)

17. Other organizations in information supply profession.
18. Other departments in university compete for available funds.
19. Other organizations and professions compete for staff.
20. Data Banks - offer more sophisticated equipment, speedier retrieval and specialized staff, e.g. MEDIARS, Census tapes. The person with urgent needs bypasses the cumbersome library process. Will he do so more often in the future and will this lead to less support?
21. Personnel - Strong competition for a limited number of talented professionals - need for competitive recruiting and program if both monetary and non-monetary inducements. Problem of "isolated" location - may not be the liability it once was.

Special problem - recruiting black professionals to fulfill Affirmative Action commitments.
22. Grants - competition with more "relevant" areas of library service, e.g. service to ghetto areas. Our problems do not have an appeal of immediacy.

CORNELL UNIVERSITY LIBRARIES

Environmental Analysis

Areas to consider

1. Publication
2. Inflation
3. Accretion of the academic programs
4. Labor costs
5. Priority/role of education in society
6. Apparent applicability of machines to library work
7. Opening of China
8. Role of Library of Congress
9. Geographis Location



February 15, 1972

CORNELL UNIVERSITY LIBRARIES

Mission Draft #2

2. To provide bibliographical, physical, and intellectual access to recorded and knowledge and information consistent with the present and anticipated teaching and research responsibilities and social concerns of Cornell University.

GUIDING PRINCIPLES

1. Access to recorded knowledge is essential for human progress.
2. Cornell University Libraries (CUL), both as an institution and as a community of individuals, is committed to excellence in its activities.
3. CUL recognizes that the diverse needs of its users and the variant character of its materials requires flexibility in the development and implementation of services.
4. CUL manages its resources in accordance with the best concepts of stewardship.
5. CUL participates in cooperative library programs to support its mission.
6. CUL subscribes to the spirit of the American Library Association Library Bill of Rights.

BASIC POLICIES

1. Administration and Organization

- A. CUL is a system of libraries comprising an academic division of Cornell University.
- B. The Director of Libraries is responsible to the University for the management of the libraries of Cornell University (exclusive of informally organized office collections and reading rooms).
- C. He is guided in the determination of basic policies and in general governance by several formal and informal groups.
- D. He is aided in implementation of library programs by Associate and Assistant Directors, staff officers, college librarians, department heads, and unit supervisors organized in an administrative structure wherein operating decisions are made at the appropriate levels.

2. Service to the User

- A. All members of the Cornell University community have equal right to use University Library materials and services.

2. Service to the User (continued)

- B. Rules, regulations and procedures which affect routine public transactions are published and made generally available.
- C. Servicing the largest number of users is given first attention in planning library services.
- D. The primary public service obligations are:
 - 1. to provide prompt access to library materials.
 - 2. to provide a suitable physical environment for the use of these materials.
 - 3. to give the appropriate level of bibliographic and reference assistance to all library users.
 - 4. to give instruction in bibliography and in the organization and use of library materials.
 - 5. to maintain consistently excellent public relations in the day-to-day operations at all service points.

3. Collection Development

- A. Policies which govern collection development are explained to the University community and are subject to periodic review.
- B. Acquisition of additional unique titles within CUL takes precedence over duplication of titles for purposes of creating comprehensive individual collections.

Basic Policies

3. Collection Development (continued)
 - C. Collection policy formulation takes into consideration the collections of other libraries outside Cornell University.

4. Organization and Processing of Materials
 - A. Materials are processed, organized and stored so that the cost-to-benefit ratio is maximized for the University as a whole.

 - B. CUL studies the efficiencies of centralization of repetitive clerical, largely machinable operations, services and activities, and will implement centralization where desirable.

 - C. Excellence of the bibliographic record is maintained.

 - D. Except where unusual circumstances make it inadvisable, CUL follows uniform national standards in organizing bibliographic records.

 - E. The collection is maintained in a usable physical condition and conserved for future generations of users.

5. Human Resources and Staff Development
 - A. CUL strives to develop the full library career potential of all staff members.

Basic Policies

5. Human Resources and Staff Development (continued)
 - B. CUL encourages staff participation in institutional, regional and national library activities as it contributes to professional growth.
 - C. Managers at each level of the organization have the primary responsibility for stimulating the career growth of members of their staff.
 - D. Relevant system-wide and departmental objectives and priorities are made known to affected staff members.
 - E. Staff participation is sought in decision making at all levels.
 - F. Incorporation of variety into position responsibilities is encouraged when consistent with work to be done.
 - G. Librarians are promoted through a series of ranks reflecting their professional competence.
 - H. CUL is seriously concerned with the safety and welfare of the entire library staff.
 - I. CUL recognizes its responsibilities under the University's Affirmative Action Program.

Basic Policies

6. Management Controls and Analysis

- A. Appropriate techniques of management and analysis are used to gain efficient use of resources.
- B. Significant commitments and expenditures are systematically evaluated prior to approval and implementation.
- C. Statistical, productivity and cost data is provided for sound management control of library operations.

7. Facilities

- A. CUL seeks to provide adequate housing of library materials, users and staff to maximize efficiency.
- B. In planning library facilities consideration is given to user expectations and traffic patterns, scope and organization of collections, as well as cost and efficiency.



December 19, 1972

CORNELL UNIVERSITY LIBRARIESContinuing and Specific Objectives

CONTINUING OBJECTIVE #1: TO UPGRADE PUBLIC SERVICE THROUGH EFFORTS TO IMPROVE--

A. THE RATION OF HITS-TO-MISSES

Specific Objective#1: To increase percent of general stack book collection available at time demanded.

CO#1: TO UPGRADE PUBLIC SERVICE THROUGH EFFORTS TO IMPROVE--
B. DELIVERY TIME.

SO#1: To study effectiveness of library messenger service and to develop a system for more frequent delivery to libraries, if needed.

SO#2: To study and to work towards installing an automated circulation system, beginning with Olin Library.

SO#3: To improve paging service.

CO#1: TO UPGRADE PUBLIC SERVICE THROUGH EFFORTS TO IMPROVE--
C. ACCESS POINTS.

SO#1: To extend services as needed for pick-up and delivery to buildings not presently served and pick-up from book return boxes in remote locations.

SO#2: To improve access by telephone to catalog, to reference, to circulation services, and to photocopy service.

SO#3: To encourage all major student housing units and study centers to develop small self-service collections.

SO#4: Consider the concept of open reading rooms in various academic buildings.

CO#1: TO UPGRADE PUBLIC SERVICE THROUGH EFFORTS TO IMPROVE--
D. THE INFORMATION BASE.

SO#1: To create complete union catalogs in Olin Library.
a. monographs
b. serials



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CORNELL UNIVERSITY LIBRARIESContinuing and Specific Objectives

CO#1: TO UPGRADE PUBLIC SERVICE THROUGH EFFORTS TO IMPROVE--
D. THE INFORMATION BASE.

SO#1: To extend Cornell resources through use of off-campus collections and data bases.

CO#1: TO UPGRADE PUBLIC SERVICE THROUGH EFFORTS TO IMPROVE--
D. THE INFORMATION BASE.

SO#1: To maintain a record of special collections within the library system.

SO#2: To maintain a record of materials of special interest which are held outside the library system but within the university. Examples are the Laboratory of Ornithology, the Dyce Laboratory, the Administrative Reports Center.

SO#3: To maintain a record of special collections available in Ithaca, off campus. Examples are the Chamber of Commerce Directory collection and the DeWitt Historical Society Collection. Such a record is to be descriptive as to contents of collections and to give information on accessibility.

SO#4: To maintain a list of library staff with special subject knowledge and/or language skills.

CO#1: TO UPGRADE PUBLIC SERVICE THROUGH EFFORTS TO IMPROVE--
E. SPECIALIZED STAFF SERVICE.

SO#1: To explore ways to use the special capabilities of bibliographers and of public and technical staffs in an interchange of work assignments among the departments. (Such as, bibliographers using language skills in public service, catalogers assisting with orientation programs for students, reference librarians assisting with technical staff training.

SO#2: To have staff available to work outside library buildings and outside regular service hours with classes and other academic programs. To encourage librarians to participate actively as knowledgeable adjuncts to researchers and their needs.

SO#3: To offer in-depth, specialized staff assistance in areas outside normal scope of subject collections, e.g. census materials and government documents.



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CORNELL UNIVERSITY LIBRARIESContinuing and Specific Objectives

- CO#I: TO UPGRADE PUBLIC SERVICE THROUGH EFFORTS TO IMPROVE--
E. SPECIALIZED STAFF SERVICE.
- SO#4: In subject collections employ staff trained in the specific field.
- CO#I: TO UPGRADE PUBLIC SERVICE THROUGH EFFORTS TO IMPROVE--
F. AVAILABILITY OF SERVICE.
- SO#1: To extend service hours.
- CO#II: TO RATIONALIZE THE COLLECTION DEVELOPMENT, RETENTION AND LOCATION CRITERIA, AND THE SUBSEQUENT SELECTION PROCESSES.
- SO#1: Develop written selection policies for each library unit. Give separate descriptions for a number of special types of materials, such as documents, films, manuscripts, ephemera, etc. Prepare geographic indices to all policies.
- SO#2: To reduce rate of growth of the collections through ultimate selection and retention policies.
- SO#3: To develop staff capability for increased participation in selection process, notably for the general collections. Cooperation with the Reference Department in providing job descriptions for subject specialists is essential.
- SO#4: To develop a closer involvement of faculty members in the selection process for older material and especially for special collections and rare books.
- SO#5: To develop a comprehensive blanket order program for countries in the Western hemisphere.
- SO#6: To contribute actively toward development of regional and national cooperative programs in collection development.
- CO#III: TO INCREASE THE SKILLS OF THE INDIVIDUAL USER IN THE INDEPENDENT USE OF LIBRARY COLLECTIONS AND SERVICES.
- SO#1: To survey current (1972/73) and planned 1973/74) user training programs in all Cornell libraries. The purposes are:



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CORNELL UNIVERSITY LIBRARIESContinuing and Specific Objectives

- CO#III/SO#1: a. To make a central record for general information and management purposes, and for planning on methods of evaluation.
- b. To provide an avenue for wider use of readily available staff talent and university resources.
- SO#2: To survey the literature and to investigate through various professional contacts other methods and programs for user training. This investigation will include coverage of various media and machines, will price these and will make subsequent recommendations on several alternative approaches for the Cornell Libraries to pursue. Examples of media which have been suggested: Programmed instruction, flow charts and other algorithms, a model (laboratory) library for instructional purposes, taped tours, slides, video records, movies.)
- SO#3: To develop an instructional and public relations program which will appeal to the user and will motivate him to develop personal skills for the independent use of library resources.
- CO#IV: TO SIMPLIFY THE COLLECTION ORGANIZATION AND LIBRARY PROCEDURES IN ORDER TO FACILITATE DIRECT USER ACCESS.
- SO#1: To identify areas where simplification is needed.
- a. Records
- b. Organization
- c. Procedures
- d. ..Other
- SO#2: To review the library's stack policies and wherever possible attempt to open stacks to all students, especially during high-use periods.
- SO#3: To reclassify collections within the libraries which are not presently in the LC classification.
- SO#4: To establish cataloging priorities for incoming materials.
- SO#5: To review cataloging policies and procedures (particularly those which affect union catalogs and data bases) which vary among campus libraries to determine which should be brought into uniformity and which are valid variations.



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CORNELL UNIVERSITY LIBRARIESContinuing and Specific Objectives

- CO#IV: TO SIMPLIFY THE COLLECTION ORGANIZATION AND LIBRARY PROCEDURES IN ORDER TO FACILITATE DIRECT USER ACCESS.
- SO#6: To determine the form the Main Dictionary Catalog should take in the future.
- SO#7: To develop a long-range plan for expansion of the libraries' catalogs.
- SO#8: Publish with regular updating, a Cornell List of Serials or, as a more economical alternative, a Cornell List of Serials Currently Received.
- SO#9: To list all document monographs, monographic series and new serial titles on the C.U.L. Status List of Books on Order or in Process as an aid in the selection and control processes and so that the user will have to look in only one place for this material.
- SO#10: To study the feasibility of providing a complete copy of the Status List in either printed form or in a computer on-line system to all campus libraries.
- SO#11: To arrange the most used portions of the collections so they are most accessible to patrons whenever possible.
- CO#V: TO IDENTIFY LIBRARY MATERIALS WHICH REQUIRE SPECIAL HANDLING AND TO DEVELOP PROGRAMS FOR THEIR EFFECTIVE USE.
- SO#1: To identify area program materials which need special handling in the acquisitions process and integrate all others into the general system.
- SO#2: To review the location, servicing and processing of non-print media.
- SO#3: To develop uniform guidelines to assist in the identification and treatment of rare and/or valuable material.
- SO#4: To restudy the documents organization with reference to selection, processing and servicing.
- SO#5: To increase efficiency of the reserve operation.



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CORNELL UNIVERSITY LIBRARIESContinuing and Specific Objectives

- CO#V: TO IDENTIFY LIBRARY MATERIALS WHICH REQUIRE SPECIAL HANDLING AND TO DEVELOP PROGRAMS FOR THEIR EFFECTIVE USE.
- SO#6: To centralize the location of rare books in the library system and provide this material with the necessary special care and servicing.
- CO#VI: TO MAINTAIN A PROGRAM FOR COORDINATED PRESERVATION OF MATERIALS.
- SO#1: To air condition all libraries.
- SO#2: To increase the use of microforms for the preservations of valuable material.
- SO#3: To maintain one copy in good condition of all titles which are considered part of the library's "core collection".
- SO#4: To develop a program of identifying materials in need of repair or rebinding.
- CO#VII: TO MAINTAIN A COORDINATED PUBLIC RELATIONS PROGRAM DIRECTED AT--
A. THE LIBRARY STAFF MEMBERS.
- SO#1: To encourage department heads to hold staff meetings on a regular basis.
- SO#2: To inform staff of content of meetings.
- SO#3: To establish a continuing series of meetings between selectors and other library staff involved in processing and servicing materials in order to provide better understanding.
- SO#4: To develop a formal suggestion system.
- SO#5: To develop a library personnel manual to cover policies, systems and procedures which are not covered in university handbooks. To evaluate such a manual's usefulness as a part of the present "Procedures" book or as a supplementary volume to same.
- CO#VII: TO MAINTAIN A COORDINATED PUBLIC RELATIONS PROGRAM DIRECTED AT--
B. LIBRARY USERS AND POTENTIAL USERS.
- SO#1: Seek greater awareness and understanding in the University community of library resources, services, strengths, and constraints.



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CORNELL UNIVERSITY LIBRARIESContinuing and Specific Objectives

- CO#VII: TO MAINTAIN A COORDINATED PUBLIC RELATIONS PROGRAM DIRECTED AT--
B. LIBRARY USERS AND POTENTIAL USERS.
- SO#2: Establish a regular process for assuring staff attention to the continuing need for public good will.
- CO#VII: TO MAINTAIN A COORDINATED PUBLIC RELATIONS PROGRAM DIRECTED AT--
C. THE LIBRARIES SOURCES OF FUNDS.
- SO#1: To develop a library development program for fund raising and eliciting gifts in kind which will supplement and complement efforts of the University Development Office.
- SO#2: To marshal faculty assistance in interpreting the library need to the University Administration.
- CO#VII: TO MAINTAIN A COORDINATED PUBLIC RELATIONS PROGRAM DIRECTED AT--
D. THE WIDER COMMUNITY.
- SO#1: To develop increased quantity and quality of coverage in the library news media and in the general news media.
- SO#2: To improve inter-library lending service.
- CO#VIII: TO IMPROVE STAFF PERFORMANCE AND SATISFACTION THROUGH A STRUCTURED PROGRAM OF EVALUATION AND CAREER DEVELOPMENT.
- SO#1: To make the Personnel Officer responsible for the coordination and organization of all training programs, aided by a committee composed of librarians, supporting staff and student employees.
- SO#2: To encourage TC3 to establish a Library Technician course taught by qualified personnel in the area.
- SO#3: To make personnel policies known to all staff and to enforce these policies equitably in all departments.
- SO#4: To improve and systematize on-the-job training of new staff.
- SO#5: To implement a plan of rotating duties if it does not interfere with efficient operation and is consistent with job classifications.



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CORNELL UNIVERSITY LIBRARIESContinuing and Specific Objectives

- CO#VIII: TO IMPROVE STAFF PERFORMANCE AND SATISFICATION THROUGH A STRUCTURED PROGRAM OF EVALUATION AND CAREER DEVELOPMENT.
- SO#6: To promote opportunities for continuing education for librarians to keep them abreast of current library developments.
 - SO#7: To encourage staff development through course work at the University, BOCES, TC3, the high school, etc.
 - SO#8: To give attention to external as well as internal advancement.
 - SO#9: To pursue a continuing evaluation of job classification, accompanied by reclassification of jobs where appropriate.
 - SO#10: To improve relations with other University offices concerned with personnel matters.
 - SO#11: To develop a positive recruiting program for all levels of professional staff members.
 - SO#12: To work toward a continuing upgrading of library orientation programs for library staff members.
 - SO#13: To develop a continuing performance review program for staff members.
 - SO#14: To develop position descriptions for all library staff members.
- CO#IX: TO USE SPACE EFFLCTIVELY AND EFFICIENTLY.
- SO#1: To study utilization of the collections for optimum location of each collection and to establish a functional master plan for the eventual location of all collections.
 - SO#2: To review and reallocate space assignments paying particular attention to:
 - a. Providing adequate work space for all library staff.
 - b. Providing for a more economical use of space for users.
 - c. And, specifically for Olin, for
 - (1) consolidating services, security, and staff for the new Division of Rare Books, Archives and Manuscripts.



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CORNELL UNIVERSITY LIBRARIESContinuing and Specific Objectives

- CO#IX/SO#2c: (2) re-arranging the Reference-Bibliography, periodical room and catalog areas.
- (3) relocating area librarians in office space which gives them immediate access to Acquisitions Department as well as hallway used by faculty and students.
- SO#3: To seek flexibility in space allocation so that the irritant factor (psychological, etc.) in future "dislocation" is minimized.
- SO#4: To begin identifying materials for compact storage, i.e. superseded editions, obsolete titles, low demand titles.
- SO#5: To assign and process titles with expected low usage directly into a compact storage collection.
- SO#6: Develop a facility for low cost storing of materials that are infrequently used and bibliographically accessible.
- CO#X: TO SEEK ECONOMIES OF SCALE IN REPETITIVE SERVICE AND IN PROCESSING OF RECORDS.
- SO#1: Within reference departments to begin a listing of repetitive questions with the long-range intent of providing a fast, possibly mechanized, system for providing users with answers. The intermediate intent will be to provide such public hand-outs as checklists of sources to be consulted for respective answers, flow charts, or other easily mastered tools.
- SO#2: To determine which procedures in the area of technical processing can be further centralized to bring cost savings without deterioration in service.
- SO#3: To cooperate with OCLC and a future New York State cataloging system to eliminate duplicate cataloging in member libraries.
- SO#4: To cooperate with other libraries on a national and/or regional basis in establishing a machine-based serial control system.
- SO#5: To study the feasibility of dividing Olin catalogers into two sections, one for descriptive cataloging, one for subject and classification cataloging.



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CORNELL UNIVERSITY LIBRARIESContinuing and Specific Objectives

- CO#X: TO SEEK ECONOMIES OF SCALE IN REPETITIVE SERVICE AND IN PROCESSING OF RECORDS.
- SO#6: To maintain only one complete holdings record of serials in the Serials Catalog and discontinue adding serial holdings to the shelf list.
- SO#7: To consolidate the official shelflists in the Olin Library in order to reduce the space they consume and slow down drastically their growth in size.
- CO#XI: TO PROVIDE PRACTICAL AND ON-GOING INFORMATION CONCERNING--
- A. CONTACTS WITH USERS.
 - B. MAKE-UP OF USER GROUPS.
 - C. USER ATTITUDES.
- SO#1: To develop a research proposal to cover the data need on both user and non-user groups.
- SO#2: To secure expert assistance (probably Cornell faculty) in refining the research proposal and in the actual performance of the research task.
- SO#3: To encourage user and staff feedback and to explore ways to facilitate such feedback.
- CO#XII: TO STUDY REASONS FOR NON-USE OF THE LIBRARY AMONG MEMBERS OF THE CORNELL COMMUNITY.
- SO's: See Continuing Objective XI
- CO#XIII: TO MAINTAIN AN INFORMATION SYSTEM FOR MANAGEMENT RELATIVE TO ROUTINE COST INFORMATION, DECISIONS RELATING TO PROJECTS, AND OPERATING EFFICIENCIES.
- SO#1: To set up a program for continuous collection and evaluation of data on hits and misses in all service functions. These functions include circulation activities, reserve, reference, inter-library services, user instruction and certain mechanical services such as photocopy machines, charging machines, paging, recall tracing, reader notifications, the rush processing, activity originating in public departments and shelving times.



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CORNELL UNIVERSITY LIBRARIESContinuing and Specific Objectives

- CO#XIII: TO MAINTAIN AN INFORMATION SYSTEM FOR MANAGEMENT RELATIVE TO ROUTINE COST INFORMATION, DECISIONS RELATING TO PROJECTS, AND OPERATING EFFICIENCIES.
- SO#2: To develop a statistical monitoring system for development of the collections, the effective of selection policies and subsequent fiscal results.
 - SO#3: To operate a library records management program.
- CO#XIV: TO SEEK IMPROVEMENT IN EFFECTIVENESS OF ADMINISTRATIVE FUNCTIONS AT ALL LEVELS.
- SO#1: To review present organization and to make such changes as are necessary.
 - SO#2: To clarify the decision-making process.
 - SO#3: To develop a program for improving relationships between the executive and administrative staffs.
 - SO#4: To develop a program for improving the relationships between department heads and respective departmental staff.
 - SO#5: To involve staff in decision making.
 - SO#6: To continue and to improve inter-departmental relationships. This objective relates particularly to such groups as the Technical Services Group and the Public Services Group.
 - SO#7: To study communications problems and to make recommendations for resolving these.
 - SO#8: To maintain formalized mechanisms for continuation and review of the planning process.



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CORNELL UNIVERSITY LIBRARIES

CONTINUING OBJECTIVES

Levels of PriorityPriority #1

Continuing Objective #1 - Upgrade public service through efforts to improve

- A. The ratio of hits-to-misses
- B. Delivery time
- C. Access points
- D. The information base
- E. Specialized staff service
- F. Availability of service

Continuing Objective #2 - To rationalize the collection development, retention and location criteria, and the subsequent selection processes.

Continuing Objective #9 - To use space effectively and efficiently.

Continuing Objective #14 - To seek improvement in effectiveness of administrative functions at all levels.

Priority #2

Continuing Objective #5 - To identify library materials which require special handling and to develop programs for their effective use.

Continuing Objective #6 - To maintain a program for coordinated preservation of materials.

Continuing Objective #8 - To improve staff performance and satisfaction through a structured program of evaluation and career development.

Continuing Objective #10 - To seek economies of scale in repetitive service and in processing of records.

Continuing Objective #13 - To maintain an information system for management relative to routine cost information, decisions relating to projects, and operating efficiencies.



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CORNELL UNIVERSITY LIBRARIES

CONTINUING OBJECTIVES

Levels of PriorityPriority #3

Continuing Objective #3 - To increase the skills of the individual user in the independent use of library collections and services.

Continuing Objective #4 - To simplify the collection organization and library procedures in order to facilitate direct user access.

Continuing Objective #7 - To maintain a coordinated public relations program directed at:

- A. The library staff members
- B. Library users and potential users
- C. The libraries' sources of funds.
- D. The wider community.

Continuing Objective #11 - To provide practical and on-going information concerning:

- A. Contacts with users
- B. Make-up of user groups
- C. User attitudes.

Continuing Objective #12 - To study reasons for non-use of the library among members of the Cornell community.

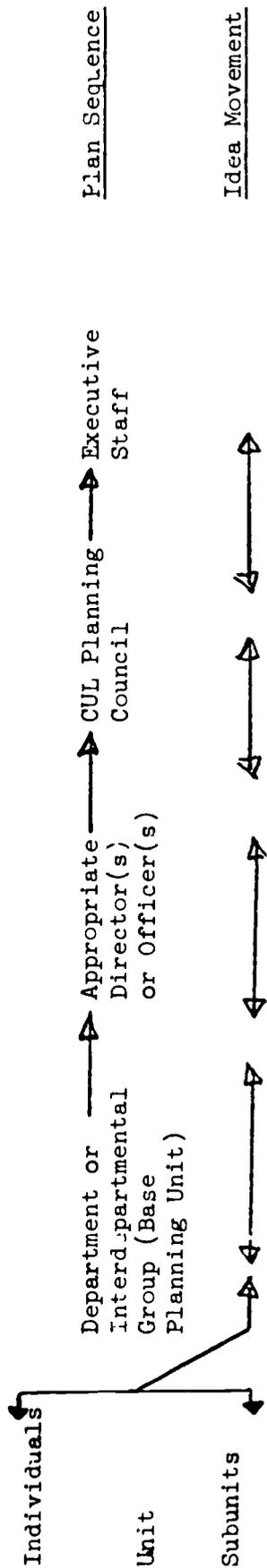
Structure and Technique for a Continuing Planning Process
at Cornell University Libraries

Preface

- A. The Mission, Guiding Principles, Basic Policies and Continuing Objectives will be reviewed and updated by the Library Planning Council, with advice from the Academic Assembly, other appropriate groups and supporting staff.
- B. Detailed written plans begin at the department or interdepartmental group level and work up the Planning Sequence Organization.
- C. The main thrust of the written plans is to implement CUL objectives.
- D. Plans may include projects not covered in the Mission, Guiding Principles, Basic Policies and Continuing Objectives but should not be in conflict with them.
- E. Plans will be made annually with quarterly "Milestone and Update Reports" being submitted.
- F. Projects will be developed at their appropriate level with ideas moving up or down the Planning Sequence Organization.

I Structure

A. Planning Sequence Chart (not an Administrative Organization Chart)



Definitions

Department or Interdepartmental Group is the basic unit which designs and writes a formal plan.

(See in Planning Unit Structure in B below.)

Appropriate Director(s) or Officer(s) receives plans from departments and interdepartmental groups and prepares commentary with combined plan before submitting to Planning and Budget Officer.

(See Planning Unit Structure in B below.) Projects may be initiated at this level.

CUL Planning Council is the continuation of the original Planning Team concept. It is composed of the Director or Associate Director, the Planning and Budget Officer, a member of the Executive

I A Definitions-Continued

Staff from the statutory payroll, and three members of the Academic Assembly of whom one is to be a college librarian and one is to be a department head. With input from appropriate groups, it reviews and updates as needed the Mission, Guiding Principles, Basic Policies and Continuing Objectives of the CU Libraries, coordinates and schedules all planning work, evaluates progress toward objectives and prepares appropriate documentation for submission to the Executive Staff in accord with university requirements.

Executive Staff approves, rejects, modifies or returns plans for further study and determines priorities for implementation. It is presently composed of Director, Associate Director, Assistant Directors, Coordinator of Public Services, Planning and Budget Officer, Personnel Officer, Law Librarian and I&LR Librarian.

B. Planning Unit Structure Chart

Planning Unit Structure

<u>Department</u>	<u>Director or Officer to Whom Plan is Sent</u>	
Olin Circulation	} Associate Director	
Olin Reference		
Olin Maps, Mirotext, Newsp.		
I&LR		
Uris		
Engineering		
Business & Public Admin.		
Physical Sciences		
Fine Arts		
Hotel		
Music		
Wason		
Public Services		} Law
Catalog		
Acquisitions		

I B. Continued

<u>Department</u>	<u>Director or Officer to Whom Plan is Sent</u>
Olin Acquisitions Olin Serials Olin Catalog Olin Catalog Maintenance	} Assistant Director, Tech. Serv.
Area Librarians	————— Assistant Director, Development of the Collections
Mann Loan Mann Reference Mann Acquisitions Mann Catalog Entomology Veterinary Science	} Mann } Assistant Director and Mann Librarian
Rare Books Manuscripts & Archives	} Assistant Director, Rare Books Manuscripts & University Archives
Budget and Accounting Administrative Services	} Planning and Budget Officer
Personnel	————— Personnel Officer
<u>Interdepartmental Group</u>	————— <u>Appropriate Director(s) or Officer(s)</u>

Statement excludes Medical College and Geneva Experiment Station

II Techniques--Annual Plan-Department

Department heads with the involvement of their staffs are responsible for the formulation of their departmental mission and its consistency with the CUL Mission, Guiding Principles, Basic Policies and Continuing Objectives.

Interdepartmental groups will follow the departmental process outlined here with necessary modifications.

A. Action Taken By Department

1. Preliminary Steps

- a. All individuals are to be encouraged to supply suggestions to the department head for the department's plan. The department head will request staff offering verbal suggestions to write them down.

Suggestions dealing with other departments or the library system as a whole are also encouraged and are to be directed in writing to the Planning and Budget Officer. His office will act as a clearing-house.

- b. Ideas for plans may also come from department meetings. These ideas should also be put in written form and handled as in "a" above.
- c. Department head will discuss each suggestion with staff member submitting it. Some suggestions can probably be adopted by simple changes in routines or can be eliminated if misunderstandings are cleared up, and will not need to become part of formal plan.

- II A. 1. d. Department head will discuss suggestions with unit supervisors and others in the department who are involved.
- e. Outside consultation may be helpful and often will be necessary. Consultation may include.
1. appropriate directors or officers.
 2. other units performing similar functions.
 3. other units affected.
 4. Public Services and Technical Services groups.
 5. Planning and Budget Officer.

2. Formulation of Department Plan

The department head, with departmental advice:

- a. Defines clearly and briefly each project (specific objective) which has been developed from suggestions.
- b. Investigates alternate ways of reaching objectives.
- c. Prepares tentative estimates of time required, costs, effects on other departments, etc. (Help may be requested from Planning and Budget Officer.)
- d. With advice of department priorities are determined and projects divided between those to be implemented and those to be deferred.
- e. Prepares a draft plan for the department.
- f. Provides for review of draft plan by department, and with advice of department, determines "milestones (for measurable achievement points).

II A. 3. Planning for Implementation (development of strategies)

The department head, with departmental advice:

- a. Determines other groups involved and arranges for their participation.
- b. Determines tasks and resources (personnel, funding, equipment) required to accomplish projects.
- c. Determines duration of each task.
- d. Determines who should be assigned responsibility for each task.

4. Writing of Formal Plan

- a. Formal plan will be drafted in proper format at least two weeks prior to submission date. (See IV)
- b. Department head submits plan to person indicated on Planning Unit Structure Chart.

B. Action Taken by Appropriate Director or Officer

1. The appropriate Director or Officer receiving plans will review them with department head.
2. Projects which can be accomplished with no additional resources and which do not have any effect on other departments can be approved and the department given permission to begin implementation. These will be included in the final plan for information purposes.

II B. 3. Director or officer prepares a combined plan for his area of responsibility. The bracketed portions of Planning Unit Structure Chart indicate responsibility. A combined plan will consist of departmental plans plus any additional projects created at this level. A covering memo will summarize the plan. In any case, a copy of the individual department plans will accompany the combined plan through to the Executive Staff.

4. Director or Officer sends plan to Planning and Budget Officer.

C. Action By CUL Planning Council

1. Studies plans with special attention to budget implications.

2. Looks for complications and inconsistencies.

3. Refers questions to the appropriate person(s) for clarification.

4. Suggests modifications to originating units as needed.

5. Prepares necessary materials for Executive Staff's review of plans. These include:

a. List of projects requiring Executive Staff decisions and action with comments and recommendations.

b. Short summary of all plans, highlights, comments and recommendations.

c. All plans submitted by departments and those created at the Director or Officer level.

II C. Continued

6. Integrates them into a draft of the total library plan.
7. With input from the appropriate groups reviews annually and updates the Mission, Guiding Principles, Basic Policies and Continuing Objectives.

D. Action by Executive Staff

1. Each member of Executive Staff will receive material from CUL Planning Council at least one week before the appropriate meeting.
2. Executive Staff will approve, reject, modify or return for further study all projects which require their attention and determine priorities for implementation.
3. These decisions of Executive Staff will be reported in writing to the appropriate departments promptly and the library will be available to any interested staff member.
4. Final approved document becomes the library plan.

III Techniques--Milestones and Update Report

- A. The department head, with the help of the department, reviews the annual plan to determine:
 1. If milestones have been met.
 2. If new projects should be added.
- b. Milestone revisions and new projects will be reported through the planning sequence on the proper form.

III C. A report for all projects will be submitted even if there are no changes.

IV Time Sequence

	<u>Milestone & Update Rpt.</u>	<u>Annual Plan</u>	<u>Milestone & Update Rpt.</u>	<u>Milestone & Update Rpt.</u>
Department Head to Directors and Officers	Aug. 15	Nov. 15	Feb. 15	May 15
Directors and Officers to CUL Planning Council	Sept. 1	Dec. 1	Mar. 1	June 1
Planning Council to Executive Staff	Setp. 15	Dec. 15	Mar. 15	June 15

5. Milestone:

This Year	January	February	March	April	May	June						
	July	August	September	October	November	December						
Following Year	J	F	M	A	M	J	J	A	S	O	N	D

<u>#</u>	<u>Task</u>	<u>Completion Date</u>	<u>Responsibility</u>
1	Start	Month _____ Year _____	

PROJECT FOR ANNUAL PLAN

Date: _____

PLANNING UNIT: _____

Continuing Objective

SUMMARY OF PROJECT:

Endorsements:

Department Head (or equivalent) : _____
Director or Officer: _____
Planning and Budget Officer: _____
Executive Staff: _____

DETAIL:

1. Purpose:
2. Other Units Effected:
3. Alternatives
4. Savings (include expenses and time):
5. Other Benefits Not Stated Above:
6. Cost (include expenses and time):

LIST OF DEFERRED PROJECTS

PLANNING UNIT _____

DATE _____

December 21, 1972

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CORNELL UNIVERSITY LIBRARIES

Things to Do

1. Prepare calendar of planning events
2. Overall review and evaluation in Spring of 1974
3. Written review and evaluation to CLR end of 1975
4. Expand data package

Take Home Task

1. Mail out Immediately

- a) Structure
- b) Continuing Objective by level of priority
- c) Mission, Guiding Principles, Basic Policies

Cover Memo

Dates of meeting
Team dissolved Jan. 31 target
CULPC date Feb. 1 target

2. Meeting (Informational)

- a) Administrative Staff (Mon. 1/8/73)
- b) A.A. (Tue. 1/16/73 EW & CS)
- c) Open meeting (Wed. 1/17/73)
- d) Various department heads Meeting - D & O (Jan. 18/19 or later)
- e) Individual meetings - Department Heads - Sellers
- f) Meeting at AMA Grove by project initiators (first half of Feb.)

3. Form CUL Planning Council (By 1 Feb. 1973)

APPENDIX D
SURVEY QUESTIONNAIRE

EXPLANATION OF QUESTIONNAIRE

The two major objectives of the CUL Planning Effort are explicitly stated in questions 1 (Part I), and 15-17 (Part II) of the questionnaire. All the other questions in Parts I and II relate in one way or another to these four. The total responses are tabulated with the questionnaire in the Appendix.

A preponderance of "agree" and "strongly agree" responses would be favorable to the planning effort on questions 1, 2a, 5-8 in Part I, and questions 1-4, 5a, and 7-13 in Part II. A preponderance of "disagreed" or "strongly disagreed" responses would be favorable on questions 3 and 4 in Part I, and on question 6 in Part II. The responses would be so interpreted even when there were a large number of neutrals.

Questions 2 in Part I, and question 5 in Part II, are intended to help identify the individuals or groups which the staff thought exerted the strongest influence on the planning effort.

Parts III-V were intended to identify those segments of the organization whose opinions differ substantially.

1/9/73

TO: Cornell University Library Academic Staff

FROM: William E. McGrath, University of Southwestern Louisiana

I have been independently retained to make an impartial report upon Cornell Library's effort to develop a strategic planning process for the library. Part of my job is to evaluate the effort. To do this I need your help. Accordingly, I would greatly appreciate your responding to this questionnaire. Your responses will be anonymous and impartially analyzed. Please give your honest opinion. There is no "correct" answer. I suggest you read all the questions before you answer them.

DO NOT SIGN YOUR NAME

Check one of the following, for each statement in Parts I and II:

SA	Strongly Agree	F	Favorable to Planning Effort
A	Agree	U	Unfavorable to Planning Effort
UN	Neutral or Undecided		
D	Disagree		
SD	Strongly Disagree		

Part I. THE PLANNING TEAM. RESPOND TO EACH STATEMENT.

	<u>SA</u>	<u>A</u>	<u>UN</u>	<u>D</u>	<u>SD</u>		
1. The group of CUL officers and elected members has become an effective and unified planning team.	(4)	(25)	(20)	(7)	(4)	F	[1]
2. The Team's unity and effectiveness (or lack of it) can largely be attributed to:							
a. their own basic acumen and willingness to cooperate.	(12)	(25)	(19)	(3)	(1)	F	[2]
b. the input of the Academic Assembly.	(3)	(10)	(25)	(16)	(5)		[3]
c. the input of the Administrative Staff.	(5)	(17)	(22)	(11)	(2)		[4]
d. the American Management Association	(2)	(18)	(24)	(8)	(6)		[5]
e. the skill and the foresight of the Director of Libraries	(6)	(17)	(20)	(10)	(7)		[6]
f. the skill of some other individual*.	(2)	(12)	(31)	(10)	(2)		[7]
g. unknown factors or persons.	(2)	(2)	(43)	(9)	(1)		[8]
3. The Team would have been more effective had it been made up of other individuals on the Library Staff.	(7)	(4)	(26)	(27)	(3)	F	[9]

* If you wish to name that individual, insert his name here _____

Part I. (Continued)

	<u>SA</u>	<u>A</u>	<u>UN</u>	<u>D</u>	<u>SD</u>		
4. The Planning Team spent too much time developing the Plan.	(4)	(7)	(30)	(25)	(2)	F	[10]
5. The Planning documents will enable the staff to anticipate and cope with management crises.	(2)	(16)	(15)	(23)	(12)	U	[11]
6. The decision making process (i.e., who makes decisions) in CU Library is clearer to me now than it was before.	(3)	(18)	(11)	(21)	(15)	U	[12]
7. I feel that I as an individual have all the impact I desire on the Planning Effort.	(5)	(24)	(17)	(16)	(6)	F	[13]
8. I feel that the Planning Team is fully receptive to my ideas.	(1)	(30)	(22)	(8)	(6)	F	[14]

Part II. THE LONG RANGE PLANNING DOCUMENTS. PLEASE RESPOND TO EACH STATEMENT.

	<u>SA</u>	<u>A</u>	<u>U!</u>	<u>D</u>	<u>SD</u>		
1. The documents drafted by the Planning Team are effective instruments for guiding the CU Library in its activities for the next few years.	(4)	(20)	(24)	(13)	(8)	F	[15]
2. The planning documents are truly meaningful.	(5)	(18)	(18)	(16)	(12)	U	[16]
3. The planning documents will be useful to the library community at large.	(5)	(18)	(29)	(11)	(6)	F	[17]
4. The Cornell Library planning experience will be a valuable model for other libraries.	(5)	(25)	(20)	(12)	(7)	F	[18]
5. The content of the planning documents consist largely of contributions from:							
a. the Planning Team	(18)	(40)	(9)	(1)	(0)	F	[19]
b. the Academic Assembly	(1)	(14)	(18)	(23)	(7)		[20]
c. the Administrative Staff	(5)	(26)	(17)	(13)	(2)		[21]
d. the American Management Ass'n	(4)	(17)	(24)	(11)	(5)		[22]
e. the Director of Libraries	(11)	(22)	(17)	(11)	(1)		[23]
f. some other individual(s)	(2)	(11)	(35)	(8)	(2)		[24]
6. The planning documents could have been generated without the Planning Team.	(11)	(11)	(15)	(20)	(12)	F	[25]
7. The planning documents take into account all the major factors in running a library.	(2)	(20)	(17)	(19)	(11)	U	[26]
8. I feel the overall objectives of the planning effort have been met.	(2)	(22)	(28)	(9)	(8)	F	[27]
9. I feel that the planning effort basically meets my needs in the library.	(4)	(16)	(23)	(17)	(9)	U	[28]
10. I believe the planning effort recognizes and will take advantage of my skills.	(2)	(18)	(31)	(10)	(8)	F	[29]

	<u>SA</u>	<u>A</u>	<u>UN</u>	<u>D</u>	<u>SD</u>		
11. I agree with the priorities of the planning documents.	(9)	(32)	(17)	(5)	(5)	F	[30]
12. The statements on mission, objectives and strategies are good ones.	(7)	(40)	(13)	(7)	(2)	F	[31]
13. The planning documents consider all the major library problems that concern me.	(7)	(19)	(17)	(16)	(10)		[32]

Part III. PLEASE CHECK (✓) ONLY ONE OF THE FOLLOWING:

CHECK ONE

- | | | |
|---|-----------|------|
| 1. I am a librarian, but not a member of the Planning Team. | <u>57</u> | |
| 2. I am a member of the Planning Team | <u>9</u> | [33] |
| 3. I am neither a librarian, nor a member of the Planning Team. | <u>3</u> | |

Part IV. PLEASE CHECK (✓) ONLY ONE OF THE FOLLOWING:

- | | | |
|---|-----------|------|
| 1. I am in Public Services. | <u>21</u> | |
| 2. I am in Technical Services. | <u>25</u> | [34] |
| 3. I am in neither public nor technical services. | <u>18</u> | |
| 4. Both | <u>4</u> | |

Part V. PLEASE CHECK (✓) ONLY ONE OF THE FOLLOWING:

- | | | |
|--|-----------|------|
| 1. I am on the Administrative staff but not Executive staff. | <u>18</u> | |
| 2. I am on the Executive staff. | <u>8</u> | [35] |
| 3. I am on neither of the above. | <u>42</u> | |

Part VI. PLEASE CHECK (✓) ONLY ONE OF THE FOLLOWING:

- | | |
|---------------------------------------|-----------|
| 1. I am an Assistant Librarian. | <u>13</u> |
| 2. I am a Senior Assistant Librarian. | <u>11</u> |
| 3. I am an Associate Librarian. | <u>17</u> |
| 4. I am a Librarian. | <u>24</u> |
| 5. Category 5 inserted by respondent. | <u>3</u> |

[36]

Part VII. ANY FINAL COMMENTS?

Summary of comments:

<i>Favorable:</i>	<i>5</i>
<i>Unfavorable:</i>	<i>18</i>
<i>Skeptical:</i>	<i>7</i>
<i>Neutral/Undecided:</i>	<i>12</i>

Please use the attached self-addressed envelope and return the questionnaire to me.

William F. McGrath
 Director of Libraries
 University Libraries
 University of Southwestern Louisiana
 Lafayette, Louisiana 70501

APPENDIX E
ASSUMPTIONS AND HYPOTHESES

APPENDIX E

ASSUMPTIONS AND HYPOTHESES

1. Hypotheses Concerning Individual Library Performance

- (1) **Assumption:** The old standard that a library's budget must increase by 4% is a myth.

Hypothesis: To maintain (1) a given level of user satisfaction and (2) a given rate of successful uses of the library, a library's budget must increase by 4% per year.

- (2) **Assumption:** To maintain good service, a library should add a greater number of books to its collection every year.

Hypothesis: A. User perception of quality service is directly related to the number of books added to the library in a given period of time.

B. The greater the number of titles in a collection, the higher the user satisfaction with the library.

- (3) **Assumption:** The catalog is the best means of access to the collection.

Hypothesis: The number of useful and the number of non-useful library books found by consulting the card catalog is inversely proportional to the number of useful and the number of non-useful library books found by other means.

- (4) **Assumption:** Physical access to a library's collection is not intellectual access.

Hypothesis: A. Distance from the card catalog to the shelf location of a group of books is not proportional to level of difficulty of those books.

B. The ratio of the number of books on a given subject in a collection which are actually identified as such is not proportional to the ratio of the number the library has to those it can actually deliver. (Recall/precision ratio; many authors.)

(5) Assumption: CU Library is unique among libraries.

- Hypotheses:
- A. The number of titles on given subjects held by CU Library is not proportional to the number of books held on those subjects by any other library.
 - B. The titles held on given subjects in CU Library are not held by any other library.
 - C. The amount and kinds of services offered by CU Library are not proportional to those offered by any other library.

(6) Assumption: There is a correlation between the nature of the collection and its location.

- Hypotheses:
- A. The more specialized a library's collection (the greater the number of books it has within a given subject area), the nearer in physical distance the library is to the person's interested in that collection. (R. A. Dougherty.)
 - B. The closer a library is to a person's office, the greater the number of times he will use it, regardless of titles in the library of interest to him. (R. A. Dougherty.)

(7) Assumption: Incorporation of variety into position responsibilities is desirable.

Hypothesis: The larger the number of different tasks and responsibilities in a position, the greater the satisfaction and greater the productivity of the person holding that position.

- (8) Assumption: The Library's credibility is high.
- Hypothesis: The more frequently a faculty member finds what he wants in the library (example of possible reason), the higher his perception of the library's credibility.
- (9) Assumption: Non-clarity of the decision making process is a weakness.
- Hypothesis: The better the understanding of the decision making process, the higher the acceptance of it by the staff.
- (10) Assumption: Every time a book circulates it takes a beating.
- Hypotheses:
- A. The condition of a book is dependent on (for example) the number of times it circulates.
 - B. The number of times a book is cited is dependent on the number of times it is read.
 - C. The importance of a book (as judged by an expert in the field) is dependent on the number of times it is cited. (A book that is never cited has zero importance.)
- (11) Assumption: The library follows the academic program 96% of the time; the academic program follows the library 4% of the time.
- Hypothesis: There is a significant difference between (1) the percentage of books which were assigned by faculty or read by students and which were requested for the library by faculty or purchased specifically for a course or program, and (2) those acquired in general or requested by a librarian. (See similar hypothesis by G. Edward Evans.)
- (12) Assumption: Improvements in library service are piecemeal, rather than substantial.
- Hypothesis: Over a period of time, the rate of increase of user satisfaction for existing services is significantly greater than the rate of increase when new services are added.

- (13) **Assumption:** We need to increase library user skills.
- Hypothesis:** The number of times a user succeeds in acquiring information from the library is more dependent on the amount of library training he has had, than on other factors such as the number of hours the library is open.
- (14) **Assumption:** We need to increase the number of useful contacts with library staff.
- Hypothesis:** There is a significant difference between the number of times a user judges that he was successful and number of times he was unsuccessful in finding information in a library according to (1) the number of times he found it himself, (2) had direct help of a librarian, and (3) had the indirect help of a librarian.
- (15) **Assumption:** A breakdown in the library system may very well increase the demand for reference service.
- Hypothesis:** The number of reference questions asked in a given period of time is dependent on the degree to which the library is able to reshelve its books. The more books off the shelf, or the more books mis-shelved, the greater the number of reference questions. (Deterioration of staff is another independent variable.)
- (16) **Assumption:** Part of a librarian's function is to purvey his own expertise.
- Hypotheses:**
- A. There is a significant difference between the number of times a student or faculty member got his information when (1) a librarian showed him how to find his information, (2) a librarian gave him the information, and (3) the person got it himself.
 - B. The greater the number of reference questions answered from librarians' memories, the higher the user satisfaction with the library.

C. The greater the number of times a librarian purveys to a user information about a subject in which the librarian is expert (not necessarily in librarianship), the higher the user satisfaction.

(17) Assumption: New books identified as probable low-use books should be sent directly to storage.

Hypothesis: The greater the number of new low-use books sent directly to storage, (1) the fewer number of times they will be handled, (2) the more space made available for high-use books in non-storage, and therefore the less time required to retrieve high-use books.

2. Hypotheses of More General or Theoretical Interest

(18) Assumption: The library is a reflection of the world at large.

Hypotheses: A. The number of books on given topics in a library is distributed in proportion to the number of people in the general population interested in those topics.

B. At least one book will be deposited in a library for every political, social, . . . event.

(19) Assumption: The library's business is recorded information.

Hypothesis: User perception of library service is higher when users obtain recorded information from the library than when they receive unrecorded information from the library.

(20) Assumption: When a private library reaches a certain size, it becomes a public library.

Hypothesis: The larger the private library, the more frequently it will have titles of interest to the public. After it reaches some critical size, the number of times it will have titles of interest to a given public population, will be greater than the number of times it will have titles of interest to its own clientele.

(21) Assumption: The more individual collections incorporated into a library collection, the greater the number of books available.

Hypothesis: The larger the library (the more titles a library has, and the larger the staff it has to service them), the more often a user succeeds in finding the title he wants.

(22) Assumption: In the world of business, there is a much greater tendency among lieutenants and right hand men to stand up and be counted.

- Hypotheses:
- A. The number of times librarians participate in decisions about their organization is less than the number of times professional businessmen (or faculty) do about theirs.
 - B. Librarians are less certain about their importance and impact in their organizations than other professionals.

(23) Assumption: Technical services should be centralized; public services should be decentralized.

- Hypotheses:
- A. Certain library operations (such as processing of books) are done more efficiently (faster, cheaper, and with fewer mistakes) when centralized (performed at one location) than when decentralized (performed at several).
 - B. Public services (reference questions, book charging) are performed more efficiently (greater number, fewer errors) when decentralized at strategic locations than when centralized (entirely at one location).
 - C. The greater the decentralization of a library organization (the greater the number of self-contained units), the higher the staff satisfaction; the greater the centralization (number of functional units), the lower the staff satisfaction.

- D. Librarians are more intellectually productive (have greater number of ideas and convey them more often) when they work in decentralized libraries, than when they work in centralized libraries.
- E. The higher the library's productivity (number of books cataloged, etc.) in a given time period, the higher the faculty satisfaction with the library.

(24) Assumption: A library becomes more self-sufficient as it grows larger.

Hypothesis: The greater the number of volumes a library has, the fewer books it will borrow from other libraries.

(25) Assumption: The more centralized a library collection, the more efficient its use and operation.

Hypothesis: The fewer the independent and semi-independent departmental and branch libraries, the lower the unit costs of books processed, books circulated, reference questions, etc.

(26) Assumption: A library's budget should not be flexible.

Hypothesis: The greater number of fixed budgetary categories, the more often goals are achieved, and the higher the faculty satisfaction with library operations.

(27) Assumption: Document delivery is a good service.

Hypotheses: A. There is a significant difference between the number of times faculty obtain needed documents on campuses with a delivery system than on campuses without a delivery system. (See R. A. Dougherty.)

B. There is a significant difference in user satisfaction among those faculty on a campus who have document delivery service and those on the same campus who do not.

(28) Assumption: Some disciplines are of more value to society than others.

Hypothesis: The number of persons employed in a particular discipline is highly correlated with the number of books in that discipline that are (1) published in a given period, (2) held by a library, (3) circulated by a library.

(29) Assumption: Library is a bellwether for the university.

Hypotheses: A. The higher the user satisfaction with the library, or the higher the circulation per student, the higher the grade point averages.

B. The greater the number of books published or acquired in a given year, in a given subject, the greater the enrollment in that subject in the following year.

American Management



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Your organization's growth in the coming years depends on hard-headed thinking today. You've got to know where you are now — and where you want to go. What your resources are — and how to use them to reach long-term goals. How conditions in your field are likely to change — and how to turn these changes to your own advantage. In other words, you need a workable long-term plan.

There are many theories of long-range planning. Mostly academic. I want to tell you about one method of planning for organizational growth that goes beyond the academic. Puts theory into practice that relates exactly to your own organization. And will give you guaranteed results. It's the unique Team Planning Process, developed by American Management Association's Center for Planning and Implementation.

The process has proved successful for many of America's industrial firms. And for organizations in widely varied fields of public and private endeavor. It creates a plan that is completely your own. Involves your own top management. Uses your own facts and data. Aims at specific results for your own organization.

To see how the Team Planning Process can help assure your future growth, please spend a few minutes reading about how it works — and how it can be tailored to fit your organization's individual needs. Then mail the postage-paid reply card to request more information or a personal meeting.

Dr. Franklyn Barry
Director
Center for Planning and Implementation
American Management Association

The Team Planning Process

AMA's team approach to planning makes it possible for the Chief Executive and his management team to prepare – within the short space of two one-week working sessions – a basic plan to guide the organization's future growth and development. The planning process covers short, intermediate and long-range periods – with primary emphasis on immediate needs.

The planning process takes the Chief Executive and his team away from their daily jobs. So they're able to concentrate on developing their planning skills – in an environment conducive to intensive study and solution of problems.

They do the planning themselves, under the guidance of an experienced Team Director. The Director sees to it that the team stays on target . . . finds answers to the right questions . . . assembles data needed for sound, workable decisions . . . develops the necessary programs to achieve their objectives. Result: an action-oriented plan designed specifically for their organization's resources and objectives.

The plan is detailed in written form. Action Plans are established to ensure that planned tasks are carried out. Procedures are set for reviewing, changing and updating the plan.

Later, if there's a need to revise the plan – to accommodate changes in market conditions, opportunities for expansion or diversification, alteration in organizational structure – you'll discover another great advantage of the Team Planning Process. Your trained management team will be well equipped to make its own revisions.



The Team Directors

Your AMA Team Director is the “essential outsider” in your planning process. He guides your management team every step of the way through a logical planning procedure . . . helps them develop the planning skills they'll need to change or augment your planning in the future.

Remember, however, that he's not going back to work with them when the two-week planning process is completed. So he's not afraid to call something wishful thinking or say data are insufficient to justify a decision. He's trained to render objective, unbiased judgment and counsel.

And he does it like a professional. Because he is a professional. He has both academic credentials and broad experience in management. Both a knowledge of the complexities of planning problems and the precise analytical skills to solve them.



The First Step in the Process

The Chief Executive decides that he and the members of his top management team, the organization's decision makers, will participate together in the Team Planning Process. That ensures the commitment of all members of management to any plans they later develop.

A meeting is then arranged with the Team Director. At this meeting the Chief Executive and the Director agree on the make-up of the 6- to 12-man executive team who will be involved in the planning process. The Director outlines the content and purposes of the planning process, reviews the organization's previous experience in planning, obtains existing plans, if available, and requests pertinent background information. The Director and the Chief Executive may also agree upon some preliminary work assignments to facilitate progress during the first week's meetings.

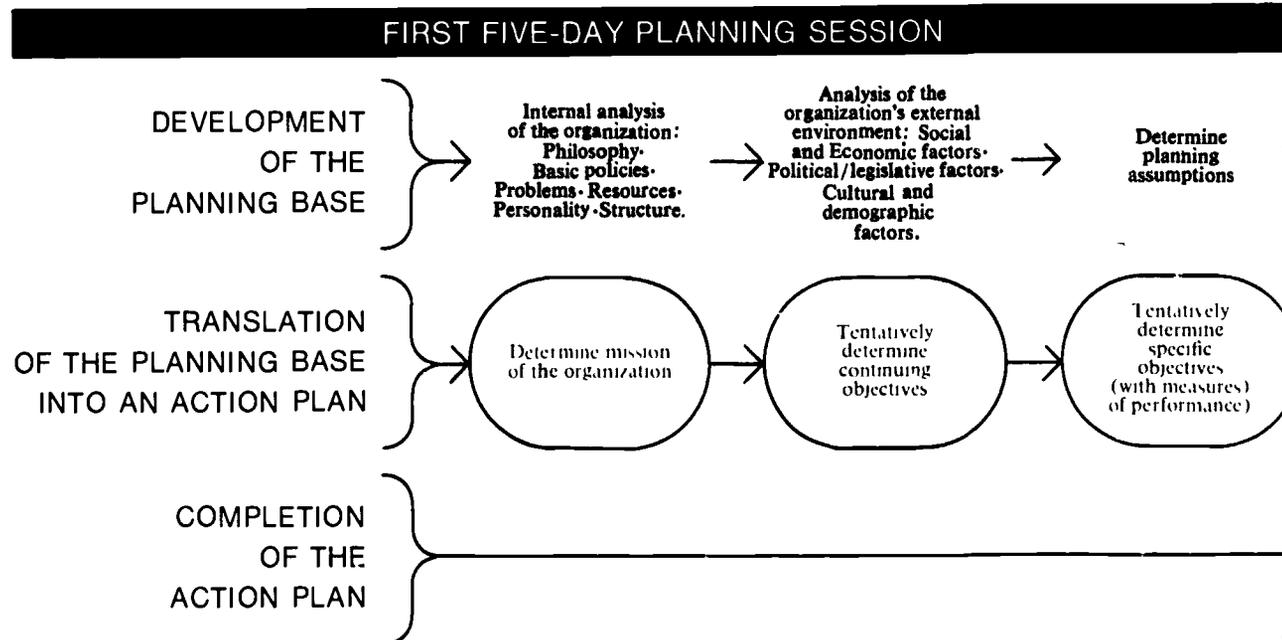
This, and all subsequent meetings, are conducted in privacy, and all data and discussions are assured of confidentiality.

Typical Steps in the Team Planning Process

FIRST FIVE-DAY PLANNING SESSION

The objectives of this week are to:

- agree upon a definition of the nature of the organization's business, the policies which will guide its future development, its structure, manpower resources and fundamental characteristics
- analyze existing resources and identify strong areas that can be exploited — and weak areas that should be strengthened
- establish tentative objectives for the long-term continuing development of the organization, and specific targets to be reached during the planning period
- determine what kinds of additional information will be needed about specific aspects of the organization's operations to evaluate possible courses of action
- assign specific data-gathering tasks to members of the team, and realistic due dates for assembling these data. On the basis of these due dates, the organization will schedule its second five-day session.



INTERSESSION FOR DATA GATHERING

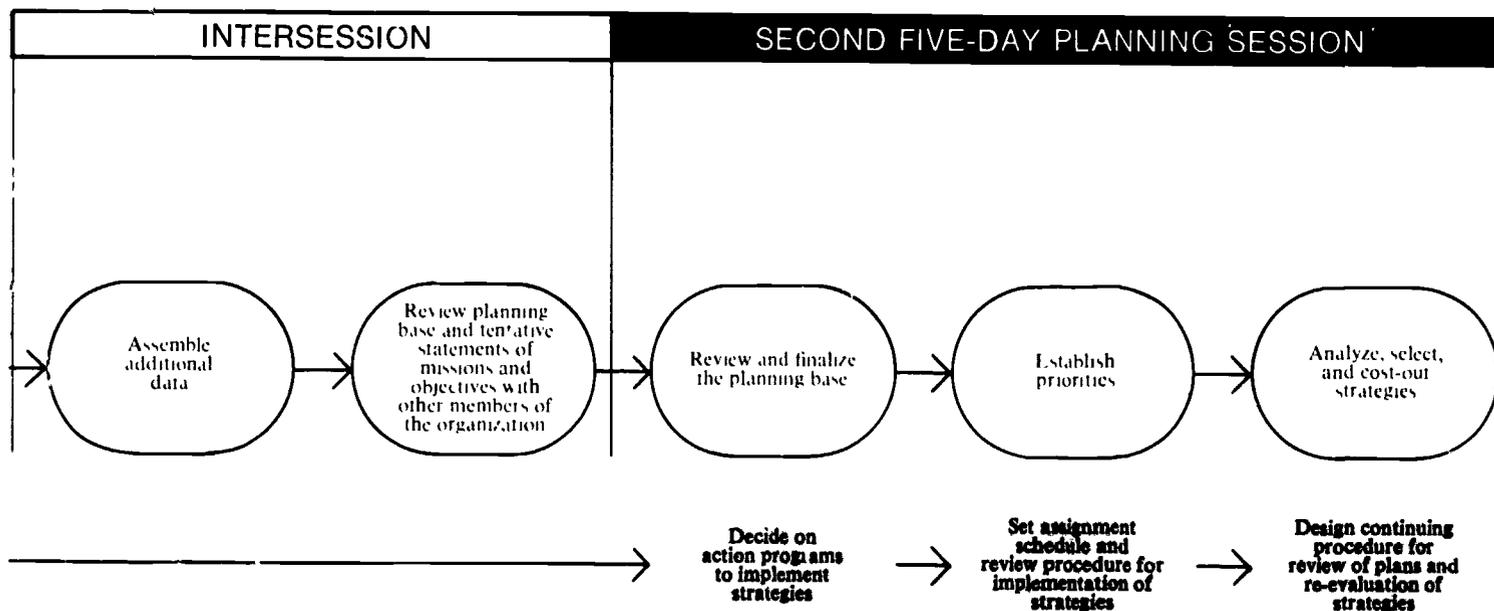
The length of time between the two sessions is determined by the quantity and availability of the information required. This interim ranges from two to six months. While it should be kept as short as possible to conserve the momentum of the process, it is essential that all necessary input data be converted into, and presented, in a meaningful form – before the second session begins.

The input data is submitted to the Director at least two weeks before the second session. Depending on the firmness of the tentative objectives set in the first week, teams may also wish to assemble data (including dollar and manpower costs) for alternative strategies to achieve proposed objectives. The Center staff then processes the data through a specially designed analytical computer program that (1) determines the dynamic characteristics of the organization (2) evaluates feasibility of preliminary objectives in view of economic conditions and outlook, market trends, and other environmental data (3) organizes the analyzed data for quick, pertinent reference during the final planning phase.

THE SECOND FIVE-DAY SESSION

Following the data-gathering phase, the planning team has analyzed enough information to be able to recognize significant internal trends – and their relationship to outside influences. It is now ready to:

- define planning “gaps” – the difference between where the organization *is* going and where it *wants* to go
- modify preliminary objectives
- analyze alternative courses of action
- break down strategic courses into specific action assignments, listing exact standards of performance and estimated times of completion
- design specifications for supplementary planning efforts to be carried out in subordinate units of the organization
- agree on the timing, degree of detail and format in which planning decisions will be communicated by top management to other areas of the organization
- develop a guide for future planning.

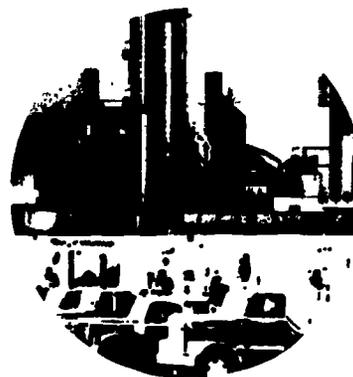


Results of the Planning Process

Upon conclusion of the two-week planning sessions at AMA's Center for Planning and Implementation, the team will have developed:

- the skills necessary for continued effective planning
- a working plan which includes both short- and long-term objectives and strategies for their achievement
- an action plan with assignments and deadlines
- a system for insuring control that assures continuing vitality of the planning process
- an explicit procedure for regularly reviewing, revising, and updating the plan on an established time schedule
- a base upon which additional management techniques such as divisional or functional planning, management control systems, executive development, and standards of executive performance may be structured
- top management team involvement in, and commitment to, the achievement of company objectives.

Team Planning Tailored for Specialized Fields



Commerce and Industry

Industrials,
Holding Companies,
Utilities,
Transportation,
Retailers,
Durable Goods Manufacturers,
Consumer Product
and Food Companies.



Health Care

Hospitals,
Nursing Homes,
Extended Care Facilities,
Residence Care,
Planning Agencies,
Hospitalization Plans,
Hospital Associations.



Financial Institutions

Banks,
Bank Holding Companies,
Savings & Savings and-
Loan Institutions,
Finance Companies,
Credit Companies,
Insurance Companies.



Educational Institutions

Local and State Boards,
Technical and
Vocational Schools,
Private and
Parochial Systems,
Colleges,
Graduate Schools,
Professional Schools.



Government Agencies and Authorities

Federal,
State,
County and Local.



Services and Professional Groups

Associations,
Foundations,
Charitable Organizations,
Service Organizations,
Professional Organizations,
Religious Groups.



The Center is located in a scenic section of central New York State. It offers an ideal atmosphere for concentrated planning sessions. There are no distractions, no day-to-day pressures to interfere with your study of your company and its goals. There are, however, comfortable accommodations and a wide range of facilities for recreation.

Though it may sound idyllic, the Center is really a practical tool of the planning process. It is a place where your executives can get together — perhaps for the first time — for uninterrupted



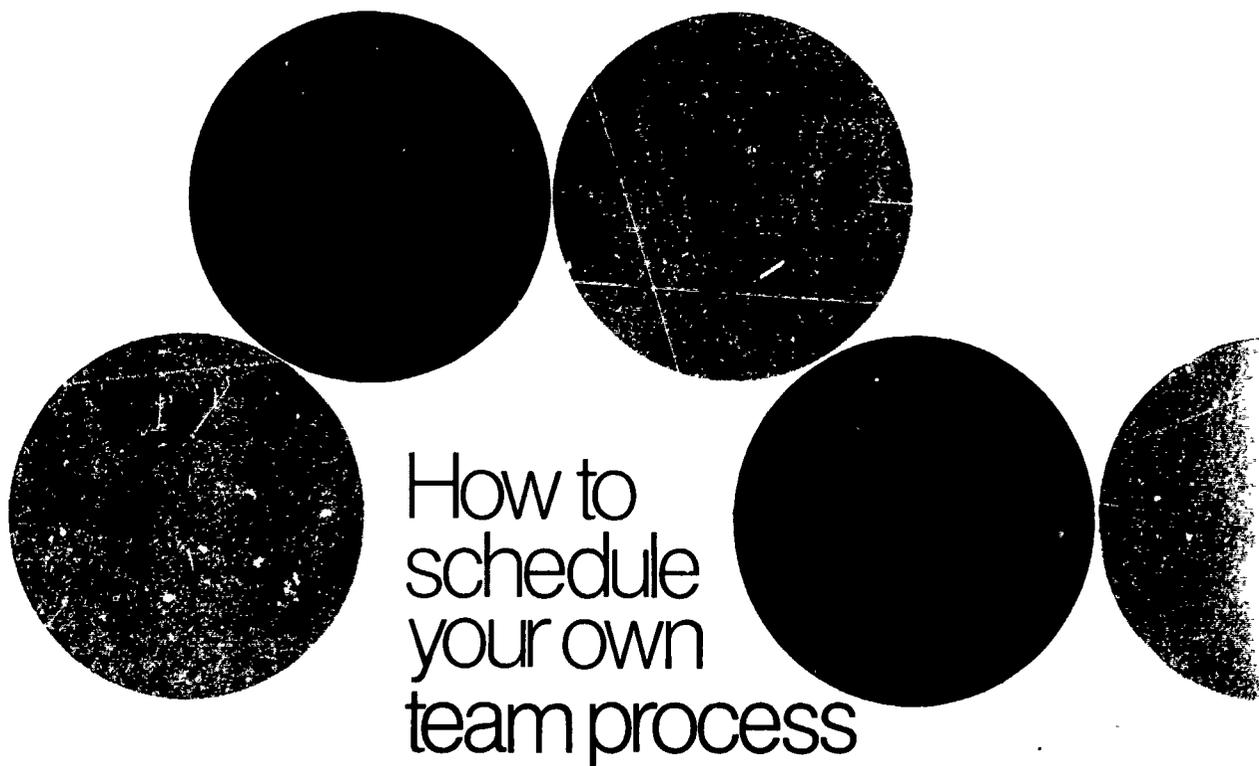
team thinking and problem solving. If you think a minute about how hard it is to get your top management all together in one room — or sometimes even in one city — you'll see why the Center itself plays a vital part in the Team Planning Process.

If, however, your organization finds it impossible to undertake the process at Hamilton, AMA will make arrangements to locate appropriate facilities in your local area.

Agway, Inc
Airoax Electronics Inc
American Precision Industries, Inc
Appalachian Regional Hospitals
Beik Stores Services, Inc
Bell Fibre Products Corp
Berkley & Co, Inc
Bethlehem Steel Corp
Binghamton City School District
Bristol Myers Co
Canada & Dominion Sugar Co., Ltd
Canadian Dept of External Affairs
Chatham Food Centers
Cherry-Burrell Corp
Church & Dwight Co., Inc
Colgate University
Community Health Information and
Planning Service, Syracuse, N Y
Cortland Line Co.
Crouse-Irving Memorial Hospital
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Davey Tree Expert Co
Educational Research Council
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Marriott Inc
Maryland State Dept of Education
May Dept Stores Co
McGraw-Hill Inc
Mercy Hospital, Council Bluffs, Iowa
Monmouth College
Monsanto Co
Montgomery Ward & Co Inc
Murphy Oil Co Ltd
Nabisco, Inc
National Can Corp
National Convenience Stores, Inc
National Shawmut Bank of Boston
New Jersey State Council for Environmental
Education
New York City School Districts 3 & 6
New York State Assembly, Speakers Office
New York State Department of Education
The New York Times Co
North Carolina State Dept of Education
Office of Program Development
New Jersey State Dept of Education

Olin, Corp
Penn Brass & Copper Co
Pennsylvania Industrial Chemical Corp
Penn State University
Philadelphia Manufacturers Mutual Ins Co
Polaroid Corp
Ralston Purina Co
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Reliance Universal, Inc
Riverside Industries Inc
Roblin Industries, Inc
Rochester Telephone Corp
San Antonio Chamber of Commerce
Shawmut Association, Inc
Singer Co
Sisters of Mercy, Omaha, Nebraska
Snap-rite, Inc
South Carolina State Department of Education
Springs Mills, Inc
Superior Coach Corp
Syracuse Savings Bank
Tennessee Valley Authority
Texas Pacific Oil Co
Tompkins-Cortland Community College
Tracor, Inc
United Services Automobile Association
Virginia State Department of Education
Westinghouse Electric Corp



How to schedule your own team process

For information about the planning procedure,
available dates, travel and housing arrangements,
please write or call:

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...offering a proven process
to assure long-term growth