Succession Planning and Implementation in Libraries

Practices and Resources

Kiyomi D. Deards and Gene R. Springs

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Succession Planning and Implementation in Libraries:

Practices and Resources

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Chapter 1

    Ulla de Stricker, de Stricker Associates, Canada

Every workplace benefits from well planned and carefully thought out succession plans through the knowledge retention they support. Traditional succession planning presupposes long-term security for libraries and librarians (e.g. a stable, persistent, and durable profession called librarianship within which to plan for new staff members as senior ones retire). Librarianship is evolving rapidly. Libraries and librarians 25 years hence may not resemble those of today. This chapter sets the stage for the remaining chapters by looking at the future of the profession holistically, as opposed to looking at any one workplace or professional practice. It lists a series of common issues practitioners should consider when addressing the question: What is the future of the profession?

Chapter 2

    John A. Lehner, University of Houston Libraries, USA
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Recruitment is intrinsic to succession planning and management. Succession planning relies on external recruitment to bring appropriate individuals into the organization. In addition, because of succession planning's focus on developing and advancing individuals within the organization, internal recruitment is a key process. Recruitment is often subsumed within discussions of personnel selection, but it is a distinct stage in the employer-employee relationship. There is a substantial and growing body of empirical research on recruitment in the industrial/organizational psychology literature. It is important for libraries to learn from the body of empirical research on effective recruiting. The growing complexity and mutability of professional work in libraries is making it more difficult for libraries to attract and engage appropriate individuals for employment. Effective recruiting practice is becoming increasingly important for libraries, and it is a precursor to effective succession planning.

Mentoring can play a key role in the career development of librarians. Formal mentoring programs are often available for students enrolled in graduate library and information science programs, for early career professionals through a variety of professional associations, and for librarians at the institutions in which they work. The goals of these mentoring programs may vary and can range from orientation to promotion or retention and even to advancement. Using the 115 Association of Research Libraries (ARL) academic members as a population, this chapter examines the mentoring practices that may be in place at these institutions by closely reading any mentoring documentation that was available on their Websites. In all, 22 ARL institutions had mentoring documentation available for analysis. The findings indicate that a large majority of mentoring programs studied have orientation and promotion as their main objectives, while far fewer make any mention of advancement or leadership development as their objectives. Further research is recommended to study both formal and informal mentoring opportunities at ARL institutions.

An investigative study was performed to better understand the practical influence of the American Library Association's Code of Ethics on the workplace behaviors and decisions of academic librarians. Participants in this investigative study were credentialed academic librarians working in North American college and university libraries, and this chapter focuses on academic librarians who hold leadership positions in management and administration. Study results show no significant results between COE familiarity and effects on ethical behaviors in the workplace; however, these results have implications for the debate surrounding enforcement of the COE and offer some insight into the links between the challenges of succession planning, leadership and ethical behaviors in academic library environments.

The cultivation of professionalism is a necessary part of training the academic and research library leaders of the future. By incorporating professionalism into succession planning efforts, individuals acquire skills that will serve them across institutions as they transition between positions of power. For the purposes of this study, the aspects of professionalism were divided into four main categories: etiquette, professional behavior, personal presentation, and space (how people fill and use it). This chapter examines existing literature and contains the results of a survey of how library employees feel about professional protocols. It argues that the observance of professional protocols can impact student satisfaction as well as create a more positive work environment. Results of the survey indicate that libraries value professionalism with an emphasis on professional behavior.

This chapter defines succession planning as a key component of talent management and explains its relevance for academic libraries. With a combination of unique human capital challenges and the current higher education environment, academic libraries are now facing risks that require special considerations as they plan for the future. In this chapter, the authors define talent management and succession planning and review the major models that are currently in use. They then discuss the "decision-science" framework, which they propose is best suited for addressing future talent needs in academic libraries. Such elements as resources and processes, organization and talent, and sustainable strategic success are highlighted as avenues to linking overall decisions around impact, effectiveness, and efficiency. The final aspect of the chapter includes techniques on developing the talent pipeline, identifying "pivotal" positions, and developing strategies and practices. Assessing progress against talent management goals, including identifying specific metrics, is also outlined.

The strategic planning process in special libraries and information centers is described, with emphasis given to the importance of planning efforts being tightly aligned with the business goals of the parent organization. Success in executing the strategic plan is strongly dependent on developing and polishing skill sets needed by persons active in the workforce today, while concurrently growing leadership and technical talent to meet future challenges. Following a discussion of general characteristics that distinguish special libraries and information centers from academic and public libraries, key concepts related to the strategic planning process in an organizational context are presented. A case study of the strategic planning efforts at a special library, the Illinois Fire Service Institute Library, University of Illinois at Urbana-Champaign, illustrates the process and benefits gained from following the goals and strategies highlighted in the plan. The authors offer insightful recommendations to those involved in the planning process and suggest future research directions.

This chapter focuses on the strategic planning aspects of succession planning in libraries. The idea of succession planning needs to be included in the long-range plan. Strategic planning grows from a strong mission and vision and, in this case, implementing succession planning as a value. By employing some foresight in the development of policy, an environment supporting succession planning is created. Becoming part of the process and gaining a support network with resources are important aspects of this discussion. Assessment of the current situation and considering the structure of the library also come into play. Creating a strategic plan that involves succession planning is the goal.

This chapter reports on a study of leadership development and succession planning at The University of the West Indies Libraries. The research shows that in the absence of formal succession planning, leadership training takes place in tandem with the staff appraisal and career development process. The annual appraisal and assessment system provides the opportunity for staff who aspire to leadership positions to be guided in their career development and thus be better prepared when vacancies arise. The benefits provided to academic, senior administrative and professional staff—for example, funding for travel and professional activities, special leave for scholarly pursuits and other career development opportunities—are utilised by librarians to advance their careers. The chapter highlights the importance of strict adherence by library administration to the annual appraisal and assessment processes and staff use of organisational support for career development as integral components in leadership development and succession planning and implementation.

Foreword

Is librarianship prepared for the future? Very few library professionals will dispute the necessity of preparing tomorrow's leaders today. Even fewer, however, understand how to do it. In the mid- to late-2000s, librarianship offered a promise: The Boomers are retiring in droves. Come join us. You will have a long, fruitful, and rewarding career waiting for you.

Nearly a decade later, we are learning the profession did not keep its promise. To be fair, there are multiple external factors that affected this proclamation. Increases in life expectancy, higher levels of formal education, shifts from pensions plans to contribution plans, alterations in legal and corporate policy, and even, unfortunately, economic fluctuations all played a part in the profession's fidelity. People are living longer. People have new incentives to work longer in the form of a 401(k). The Boomers have not left yet.

Despite these external factors that contribute to the retention of the current workforce, there is a harsh reality that must be recognized in order for any plan for the future of the workforce to be successful: people are getting older. At some point in the near future, the Boomers will exit the workforce. In some circles, this phenomenon is referred to as "aging out" or "natural attrition." The business community will approach this same phenomenon using "The Lottery Test" or "The Bus Test." If a senior member of your leadership team won the lottery tomorrow, would you be prepared for her departure? This is an extreme, fictitious scenario, but it is illustrative of a specific truth: the majority of us are ill-prepared for the departure of any of our leaders, middle, upper, or senior.

What is to be done about this truth? *Succession Planning and Implementation in Libraries: Practices and Resources* provides invaluable answers to this question. Unlike previous works on succession planning in libraries, this book rejects the notion that succession planning applies to select individuals at specific ranks within an institution. Instead, it argues that the full thrust and success of any succession plan resides in its understanding that it includes all employees at all levels within an organization.

Succession planning can no longer be understood as a workshop or set of documents left behind for a generation of young professionals tasked with fulfilling the roles and responsibilities of their predecessors. Succession planning must now be understood at a cultural level. Previous generations of workers tended to stay with one employer for the majority of their career. Contemporary workers are much more mobile than their counterparts. This, in some ways, undercuts and sabotages succession-planning efforts. Why groom a member of your own workforce to be a leader of tomorrow only to lose them to another job, another employer, another library? These are questions that address the current *culture* of librarianship's emerging leaders. How do we keep them given that they are so mobile? How do we ensure the profession has the personnel it needs in order to satisfy its primary mission: support the education and development of the citizenry whenever and however possible.

The voices and viewpoints presented here are unique. The authors come from a variety of settings: academic libraries, consulting agencies, corporate libraries, and public and special libraries.

Each of these chapters provides clues to solving the riddle of successful implementation of succession-planning efforts in librarianship. Regardless of whether the chapter describes effective internal and external recruitment practices, succession plans as part of strategic plans, the importance of talent management, or the enduring value of annual appraisals, each one provides valuable insight into the challenges, nuances, and possibilities of a succession plan's effect on the ability of each library to fulfill its obligation to its constituents.

Ms. Deards and Mr. Springs deserve more than congratulations for carefully preparing a manuscript for us to study. They deserve our attention, our reflection, and our action. They work not just for themselves but for the good of the profession as a whole. For that, I offer my gratitude and my adulation. Well done, my friends, and thank you.

Megan Z. Perez
Sharp Hue Web Design, USA

Megan Perez *received his M.S.L.S from the University of North Carolina-Chapel Hill in 2007. He has worked at numerous academic libraries including Boston College, Cornell University, and the University of Arkansas. He has given presentations on knowledge transfer and succession planning for the NYPL and ACRL. Megan is the co-editor and co-author of The New Graduate Experience published in 2010 by ABC-CLIO.*

Preface

As the baby boomer generation has begun to retire, more and more attention has been given to the question of who will be tomorrow's leaders (Kiyonaga, 2004). While initially these vacancies may be filled by those currently in middle management positions, inevitably these record numbers of retirements will lead to an accelerated need for new leaders of the library profession. At the same time, the definitions of what it means to be a library or a librarian are being examined and questioned both by those within the profession, and by their users and society as a whole. Two additional challenges are: the increasing emphasis of those upcoming generations on the importance of work-life balance, also known as having it all; and the significant increase in the frequency of employees changing jobs over the course of their careers (Bieńkowska, 2012; Crumpacker & Crumpacker, 2007; Kransdorff, 1996; Masias, Bosserman, Brown-Taylor, Cantwell, Gladney, Harding, et al., 2007). Tomorrow's leaders value working hard but have no wish to do so to the detriment of their personal relationships. In this increasingly connected world, family and friends have become more visibly important when individuals rate their satisfaction with life and their work (Crumpacker & Crumpacker, 2007). Due to the economic turbulence of the last two decades, many individuals have been forced to change jobs in order to maintain their standard of living, to advance within their field, to change careers in order to pursue a more financially viable occupation, and due to institutional closures and natural disasters. Regular cost of living raises are a thing of the past with many businesses either forgoing raises entirely, except for those related to promotion, or handing out small merit-based increases in lieu of cost of living raises. Inflation, in recent years, has steadily increased, reducing the buying power of individuals who have not received raises that have kept up with the rising cost of living. This reduction in buying power has caused individuals to desire higher rates of compensation, leading them to more frequently seek out positions with higher pay, or positions with comparable compensation in areas that have significantly lower costs of living (Crumpacker & Crumpacker, 2007). These factors have contributed to the increase in mobility of employees moving from institution to institution (Kransdorff, 1996). At the same time, technology has rapidly advanced, and economies around the globe have become even more interconnected, creating an environment of rapid change for both institutions and individuals (Crumpacker & Crumpacker, 2007; Kransdorff, 1996). This situation emphasizes the need to implement succession planning for the profession of librarianship as a whole, not just institutional level.

Librarians work in settings as diverse as the institutions that they serve. The exact technical skills and knowledge base needed to thrive in each institution is similarly divergent. This complexity begs the question: How can librarians identify leaders for the future when the landscape is so varied and the needs of those we serve are in a state of dynamic change?

CHALLENGES OF RESEARCHING SUCCESSION PLANNING

There are several challenges to researching succession planning and to writing about succession planning in a way that allows for the development of practices that are transferable across institutions. These challenges are:

- There exists only a relatively small body of research and case studies, across the disciplines, on the topic of succession planning.
- Organizations may have no formal written plan to examine in correlation with employee advancement.
- Organizations that have written plans may or may not be following those plans due to lack of funding, lack of time, or lack of interest.

The lack of available research to reference on succession planning in libraries has been one of the largest challenges to successfully researching and implementing succession planning strategies. While succession planning is highly touted in academic and management circles, at the time this publication was conceived, in early 2010, there were only two books that had been published about succession planning in libraries; one functioned primarily as a handbook; the other focused on how a public library board could choose the best library director (Detroit Suburban Librarians' Roundtable Succession Planning Committee, 2005; Singer, Goodrich, & Goldberg, 2004; Singer & Griffith, 2010). The editors were able to identify 38 related articles, some of which were not scholarly in nature, that were in some way related to succession planning. Upon examination, 2 of the publications were reviews for the aforementioned books. The majority of existing literature on succession planning lies, unsurprisingly, in the business literature (Eastman, 1995; Ip & Jacobs, 2006; Miller, 2003; Motwani, Levenburg, Schwarz, & Blankson, 2006). Part of the difficulty in gathering information that can be applied in multiple library settings lies with the original definition of succession planning as being related to grooming an individual to take on a position of authority within one specific institution at which they already work. Research within the business community has demonstrated that inadequate succession planning efforts can lead to uneasy transition in power, which can lead to poor performance by both the designated new leader and their organization (Miller, 1993).

Additional challenges arise when considering the implementation of succession planning. In particular, the questions surrounding leadership can be obstacles to embracing the need to plan for the future of the organization. Identifying leadership potential is often a challenge for organizations regardless of size and type (Dries & Pepermans, 2012). While evaluative frameworks can assist in this process, there is an inherent difficulty in using current standards to predict future performance (Briscoe & Hall, 1999). Unfortunately, it can be a similarly difficult challenge for current employees to self-identify as leaders, especially for those who have never had any leadership experience to inform that type of self-assessment (Chan & Drasgow, 2001). Though myriad factors can contribute to this challenge, current leaders and mentors within an organization must look to reach out to engage these potential future leaders (Mosley, 2005). Librarians new to the profession should not be overlooked in leadership engagement activities as certain opportunities, including participation in decision-making processes on task forces and committees and a clear workplace strategy for developing and training leaders, may aid in the retention and eventual advancement of these workers (DeLong, 2009). These challenges can be addressed through continuous assessment, evaluation, and realignment of the organization, its goals, and of the individuals who make up the organization, as an execution of an ever-evolving succession plan.

CREATING EFFECTIVE SUCCESSION PLANS

Analysis of multiple succession planning studies listed the following as part of the best practices identified in succession planning case study research: tie succession plans to strategic planning; involve related departments and coworkers in the planning process; clear and open communication; use talent management, including cross-training, to identify multiple candidates for promotion; identify multiple positions for potential promotion of candidates; execution of plans, not just creating and ignoring, is key; and setting and reassessing goals, and progress towards those goals (Garman & Glawe, 2004). It was also emphasized that the succession planning process must be "ongoing at all time"; the need for leaders whose departure is planned to have an exit strategy, and the need for assessment at every step in the process in order to identify issues before they turn into long-term problems (Garman & Glawe, 2004). Acculturation plays an important role in the retention and training of future leaders (Webster & Young, 2009; Kransdorff, 1996). Acculturation is an important factor in employee satisfaction; it is also necessary for developing the political awareness needed by future leaders (Webster & Young, 2009; Kransdorff, 1996).

Talent management has been suggested to promote succession planning at all levels. There is a risk in training employees intensively, namely that they will take those skills elsewhere (Hills, 2009). However, there is also a risk that if employees are not provided with training to maintain and increase their skill sets that they will either leave in search of a challenge leading to more frequent turnover or they will stagnate as the profession advances due to lack of training (Hills, 2009). Research by Stoll and Temperley (2009) indicates that constant learning is needed due to the constant state of change libraries are currently experiencing. Additionally, political and self-awareness, and the ability to project a positive affect are necessary, teachable skills for the leaders of tomorrow's libraries (Webster & Young, 2009). The goal of these related but diverse efforts is to support the development of leaders who can transition between multiple types of institutions in today's rapidly changing environment (Webster & Young, 2009). It is clear that tomorrow's leaders must be continuous learners, flexible, and open to change and new ideas. The challenge lies in devising and implementing succession-planning procedures that enable organizations to identify, recruit, retain, and train future leaders, while allowing for the fact that these individuals may leave; and at the same time, not stunting their growth by holding back out of fear that their coveted future leader might choose to be that leader at another institution. If each library organization maintains high standards for their succession plans, the greater profession will only be enhanced if these new leaders change organizations. Perhaps that most important factor to success is that once a succession plan has been created, it is put to use; it is only through the implementation, regular assessment, and realignment of these plans that they can be truly effective.

ORGANIZATION OF THE BOOK

This book is organized into nine chapters. Below is a brief description of each of the chapters.

Chapter 1 examines the future of the library profession as a whole, instead of concentrating on any specific type of librarianship. The chapter acts as an introduction to the next generations of library workers, the issues that are important to them, and the questions that should be addressed when engaging in succession planning for the profession and individual institutions.

Chapter 2 examines the use of recruitment strategies as a crucial first step in long-term succession planning. Empirical industrial/organizational psychology research is examined to identify key concepts and practices that can be used to develop effective recruiting strategies for libraries and the library profession, a necessary precursor to successful succession planning.

Chapter 3 reviews the role of mentoring at Association of Research Libraries (ARL) institutions as it relates to retention, promotion, and advancement. Analysis of 18 ARL institutions' mentoring documentation indicated that orientation and promotion are their main objective with few being geared toward helping employees advance to higher positions within the organization.

Chapter 4 investigates the day-to-day influence of the American Library Association's Code of Ethics on the actions of academic librarians across all kinds of college and university libraries in North America. The results offer insight into the challenges of succession planning in relationship to ensuring that tomorrow's leaders act in an ethical manner.

Chapter 5 looks beyond librarianship to the professions of business, medicine, sociology, and law in order to determine the categories that define professionalism across disciplines. Each category's relationship to successful leadership and professionalism were examined. The chapter presents academic librarians view on professionalism and its relationship with successful succession planning for the profession of librarianship.

Chapter 6 establishes the relationship between talent management and succession planning. It reviews current models of talent management, and proposes the "decision-science" framework is best suited for future planning in libraries. Lastly, it presents techniques that libraries can use to develop their own talent management strategies.

Chapter 7 presents an analysis of strategic planning practices in special libraries and information centers. It argues that successful strategic planning and execution is dependent on honing the skills of today's workforce while growing the leaders of tomorrow. A case study of the Illinois Fire Service Institute is used to illustrate the beneficial application of strategic planning as a step to developing future leaders.

Chapter 8 presents the notion that one of the goals of strategic planning should be to incorporate succession planning as a core value in addition to the traditional focus on an institution's mission and vision. It presents strategies for assessing an institution and creating a strategic plan that supports long-term succession planning goals.

Chapter 9 concludes with a case study of the leadership development and succession planning efforts at the University of the West Indies Libraries. It argues that leadership development, combined with annual appraisal and assessments, enables the guidance of employees' careers so that when opportunities for leadership arise they are prepared; it is an integral part of the succession planning process.

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Chapter 1
Influence and Leadership:
Where Will Our Profession Be in 25 Years?

Ulla de Stricker
de Stricker Associates, Canada

ABSTRACT

Innumerable conversations have been held over the decades, with increasing frequency, about the future of the library, information, and knowledge profession. The profession of librarianship was once well defined by describing library and information professionals as custodians of and guides to content; that description is no longer adequate, and the profession is perceived to be fragmenting. Furthermore, the rapid extension of the domains in which professionals with library and information credentials are active—information architecture, knowledge and collaboration management, social media—has led to the suggestion that the library profession is losing its identity in society. The chapter considers the profession's status and asks whether a focus on leadership and influence may have a role in securing a productive occupational future for its members: What single umbrella term could bind library and information professionals together, give them a cohesive identity, and tell the world why they are worth their pay?

INTRODUCTION: A PROFESSION IN FLUX

A great deal of soul searching is taking place in our ranks with respect to our profession's future. Several questions stand out: What and who will determine the way things will look 20-30 years from now at the programs producing information professionals and within the LIK profession as a whole, if it is still around as a recognizable entity? Does the graduate academic model still make sense in a world where information related competence is a requirement in every other profession - or would subject themed undergraduate information programs make more sense as preparation for graduate study in law, medicine, accounting, engineering, and so on? Now that public libraries in many cases are effectively community centers, led by visionary CEOs, offering services going far beyond what was imagined some years ago and regarded as 'way cool' by those making use of those services, should community organization, local resident engagement, democracy education, and social dynamics be core content in the curriculum along with the technical subjects? Some might argue for sociology and educational psychology for the same reason. Given the challenges of accessing organizational memory and managing intellectual capital, should organizational psychology likewise be a central subject? What are the implications of demographic change for those in charge of designing the curriculum for future library and information professionals?

One obvious indicator of the flux in which the profession finds itself is the difficulty library and information professionals have in naming it. Nowadays, only a portion of graduates from programs in Library and Information Studies or iSchools would describe themselves as librarians or archivists. Surrounding a core of professionals working in academic, public, school, and special libraries are adjacent populations of professionals working in areas so wide ranging these library and information knowledge management professionals don't have a convenient collective label other than the vague and easily misunderstood title of information professional. For example, professionals may be active in business and competitive intelligence or knowledge management (however defined, but corporate memory, taxonomies, and enterprise search are common illustrations) or in technical functions such as records or digital asset management, web architecture, search engine optimization, user experience design, and social media operations. A quick perusal of the professional titles in the Chandos Publishing offerings provided an illustration of some of the ways in which professional subspecialties have been grouped. Chandos divided the library and information knowledge management publications into the following groupings: Library Leadership and General Management; Quality Management, Marketing and Design; Public and Other Non-Academic Libraries; e-Learning and Research; Publishing; Electronic and Information Resources; Internet and Web Issues for Librarians; Digital and Digital Rights Management; Archives, Cataloging, and Classification; and Information Architecture and Knowledge Management (2012). Some professionals are independent service provid-

ers operating as consultants or freelancers. The adjacent populations' affiliation with the 'old' or 'original' library profession is not a given.

Comparisons with analogous professions - let's take the example of school administrators - has suggested the flux of the library and information profession is indeed characterized by differentiation rather than unification. School administrators may group themselves according to the grade level of the schools they manage, but beyond that, they view themselves as belonging to a single profession coalescing around student success, legislative advocacy, and support to the teaching profession.

In the following, LIK (Library/Information/Knowledge) is used as a shorthand umbrella term under which all the subspecialty domains can be found: the corporate librarian, webmaster, archivist, enterprise search specialist, SharePoint architect, school librarian, knowledge manager, academic librarian, and so on. The focus of this chapter is the profession's overall impact on society as opposed to managerial skills associated with positions held by e.g. library directors.

BACKGROUND: PROFESSIONAL IDENTITY AND SOCIETAL STATURE

Some professions are well understood and assured of their permanence in, and value to, society. No one is in any doubt what a dentist does for a living, and no one could credibly claim that dentistry and dentists will one day be obsolete. Similarly, tax attorneys may rest assured of their continuing ability to obtain meaningful employment. Most certainly, the tools and techniques of medicine will keep evolving, but due to inalterable facts of life, no amount of scientific and technological development will compromise society's understanding of the need for medical professionals.

It would be difficult to make such a case for the profession society used to call librarianship. Librarianship, however it is currently being defined or labeled, has evolved rapidly from an established role in society. Today, professionals with information credentials, those holding the MLS, MLIS, MIS and related degrees, function in myriad work roles having little resemblance to the roles of yesteryear's librarians. That is good news, and yet also troubling in the sense that some individuals have felt the library profession is losing its identity. Librarians were once seen as uniquely qualified to harvest, harness, and make available to users the collective knowledge of the world; now those functions are distributed much more widely, and there is widespread questioning whether librarians are even needed. The difficulty of proving financial or competitive returns from investments in qualified librarians and appropriate content is a complicating factor; while city council or an executive may be tempted to save a tidy sum by closing the public or corporate library, it is unlikely there would be a similar temptation to eliminate hospitals or finance or HR departments.

Particularly in the subdomain of special librarianship (i.e. librarianship carried out to serve exclusively the employees of an organization), professional erosion is a concern as companies and government entities close their information or knowledge centres (as they were named, it is now known in vain, in an attempt

to counter old interpretations of the L word). Another indicator is a marked demographic trend among special librarians. According to a 2007 article by John Latham in the Special Libraries Association's *Information Outlook,* the "percentage of SLA members over 55 years of age has doubled from 14 percent to 28 percent over the last 10 years, and those in the age range of 46 to 55 have increased from 16 percent to 31 percent. Conversely, those in the age ranges from 36 to 45 and under 36 years have decreased respectively from 34 percent and 36 percent to 24 percent and 17 percent" (2007). The absence of 'replacement' special librarians may reflect the fact that, as described in James Matarazzo's and Toby Pearlstein's article series in *Searcher*, being a special librarian is typically not a career path spelled out in detail for students in graduate programs (2011).

Those graduate programs are adapting to developments in information technology, but graduates have indicated that they find the job search challenging. Graduates' perception of a lack of preparation for the realities of the workplace is a matter practitioners could address to the degree the logistics of academic programs allow. It will be more challenging to address the lack of knowledge about unconventional jobs library school students and graduates could target. It may take a while for new library, information and knowledge professionals to translate their skills into job applications that will attract employers in business and government who have never previously entertained the thought of seeking someone with a degree called MIS, MLIS, or MISt.

Any comparison with professions such as engineering, clearly defined by society as everybody-knows-what-the-practitioners-do occupations, immediately raises the subject of certification and regulation. As legal, medical and engineering professionals have direct and in many cases life-and-death impact on people, their activities are regulated, and entry to those professions is controlled by fulfilling such requirements as qualifying exams, board certification, etc. Some professions require recertification at intervals in order to ensure practitioners stay up to date on relevant developments and keep adding to their skills.

Is the fact that our profession (however we define it, as discussed above) is unregulated a contributing factor to the weakening sense of occupational identification and security expressed by many LIK professionals?

WHAT CHARACTERIZES A PROFESSION WITH STATUS AND IMPACT ON SOCIETY?

What professions come to mind when individuals contemplate those deemed to have significant influence or impact? Near the top of the list are frequently members of the medical and legal professions, scientists, and educators in institutions of higher learning (Hall, 1968). Technology entrepreneurs and professional athletes belong in other occupations regarded highly in society.

While influential professions will not necessarily exhibit all the following characteristics, several apply to any 'impactful' profession. These attributes contribute to the establishment of powerful professional identity:

- The profession's significant educational requirements and paths for advancement are widely understood and indispensable for practice in the profession. Certification is frequently required. The services offered can be provided only by qualified members of the profession who have met stringent requirements in knowledge and skill attainment.
- In spite of rigorous requirements, entry to the profession is viewed as desirable. There is competition to gain acceptance to the academic institutions offering the most prestigious degrees.
- The remuneration for members of the profession is considerable, in comparison to the general public, according to level of attainment, degree of specialization, exclusivity, profitable innovation, and public attention.
- The profession is represented by well funded professional organizations to which most (if not all) members belong (or must belong).
- The profession is active and successful in lobbying for political change in its favour.
- Members of the profession are frequently called upon to sit in an advisory capacity on government, non-profit, and corporate governing bodies.
- Members and activities of the profession are reported upon in all types of media, leading to a public awareness of key players and current issues.
- The nature of the profession itself means those who work in it will have significant impact on society: physicians have 'life and death' impact.
- In some instances, notable spokespeople - thought leaders - represent the profession as a whole to the general public: Drs. Oz and Sanjay Gupta are good examples.
- Members of influential professions are more likely to have the opportunity to be self employed or entrepreneurial. They have more freedom to control their career path and growth than do individuals in other occupations.
- Women have only recently become equally represented in some, but not all, influential professions.
- Though the profession may have many subspecialties (family lawyers and corporate lawyers, surgeons and dermatologists, space engineers and nanotechnology engineers), its image is cohesive in society. A single word - 'lawyer', 'doctor', and 'engineer' tells the story; the details are simply that, details (Bledstein, 1976; Hall, 1968; Noordegraaf, 2007).

Library and information professionals don't have that single word as the LIK professions do not fit the above criteria. LIK professionals appear to have difficulty defining the boundaries of their occupation so as to establish a coherent single image. With time and technology developments, their activities have broadened so widely from the traditional collection, curation, protection, and dissemination of information objects that they need a lengthy list to encompass the activities they now undertake (Field, 2010). That is what Mark Field called "fragmentation death" (2010).

DOES THE PROFESSION'S FRAGMENTATION EXPLAIN ITS LACK OF SOCIETAL STATUS?

A 31 July 2010 posting by Mark Field (Department for Education, Southampton, UK) to the CILIP Group on LinkedIn titled *The Fragmentation Death of the Information* Professions generated an unprecedented response. Conrad Taylor's compilation of 192 posts was viewable only by members of the group (2010). At a later date Mark Field permitted his main points to be featured in a blog post:

- *The information professions are highly networked but poorly integrated. As a result they lack influence in government policy-making and traction in business.*
- *The inability of the information professions to exploit an early position of strength in the emergence of the Internet is symptomatic of the professions' structural weakness.*
- *The constant re-invention of information science by other professions is symptomatic of a failure of the information professions to retain possession of their craft, professionalism, technical practices and methodologies and, thus, their unique selling point.*
- *The lack of a comprehensive, hospitable and rigorous over-arching professional framework for information scientists, librarians, records managers, archivists, and their emerging new sibling professions in information architecture is a slow motion disaster of inaction.*
- *The effects of the vacuum created by that inaction cannot be easily quanti-*

fied, but in terms of skewed and inequitable economic opportunity and the stunted evolution of a rational and humane information-based democracy, those effects could be profound.
- *Currently, no professional body is capable of providing a professional framework for specialist information workers of all types* (de Stricker, 2010).

Subsequently, in *From Fragmentation to Coherence: Building an information professional community for all*, Field commented "no one disagrees that for us, as a set of connected professional communities, something is wrong; that action needs to be taken; that our communities need some form of coherence, of advocacy at every level of society. And it needs a professional definition that is both comprehensive and hospitable, yet offers a clear identity for a diverse genus of practitioners" (2012).

Is that fragmentation - the ever finer granularity of professional definition whereby a web architect, understandably, does not perceive much commonality with a public library director - linked to the perception that LIK professionals as an occupational class lack status - in contrast with, say, scientists or teachers? Here is a simple test: Name a highly visible leader in the field of mobile devices! Now name a highly visible leader in librarianship! The example is not meant to give credence to stereotypes LIK professionals hoped were eliminated decades ago, but the point is clear. LIK work is not seen as glamorous in the way the work of Google's and Apple's founders has been perceived.

Society at large is less likely to hear about the accomplishments of leading library, information, and knowledge professionals than it is to hear about the achievements of leading medical professionals whose new breakthroughs or unique skills have saved lives.

In a blog post, de Stricker commented on the profession's lack of societal clout:

K. Matthew Dames in the November 2011 issue of Information Today ("Intellectual Property - Libraries Encounter the Piracy Paradigm" - www.infotoday.com/it/nov11/index.shtml) said "the library community … does not have the political influence to fundamentally change the conversation. The result is the nation's major political, economic, and legal stakeholders virtually ignore the library community" (2011).

K. Matthew Dames' article focused on copyright, but his direct statement about influence was particularly relevant to the challenges for LIK professionals (2010). In a time when public libraries are shut down and corporations and government departments look to do without libraries, what influence do library and information professionals actually have?

In an item for Information Today Europe - http://www.infotoday.eu/Articles/ReadArticle.aspx?ArticleID=78092 - de Stricker commented on the 'new you' we all need to become. By the question "haven't we been polite about it long enough?" de Stricker was referring to the fact that we cannot afford to stay silent about the consequences of inadequate information behaviors. "But Matthew Dames' comment shows my questions about

information husbandry extend to society in general:

What influence do we have on public policy and funding for education and social and health services? Are the librarians - so very familiar with social and educational challenges - consulted when it comes to designing social programs? How can our knowledge be brought to bear on political will? How can I, as an information professional, make a positive difference in the legislation and practices of my society?"

Steve Coffman's April 2012 *Searcher* article "The Rise and Fall of the Library Empire" makes the case that technological developments have pushed (public) librarians to the margins: Whatever librarians did in the last 30 years, some company did it better - or technology evolved to such an extent that ubiquitous ownership made the librarians' functions of access provision irrelevant. He illustrates with many examples how the library profession commendably adopted the new technologies and discussed them at length in packed rooms at conferences - but did not leverage them to gain influence or take positions of impact: "Our dream of an electronic library has been built, but others own and manage it." Coffman's article is in some ways uncomfortable reading - but the professional marginalization he describes deserves attention.

DOES IT MATTER?

LIK professionals may ask: Why does it matter if the LIK profession does not have transformational impact on society in the way some

other professions do? Is it not sufficient that LIK professionals add value to their clients' lives and work by facilitating their access to the most suitable information and support the ongoing development of tools for publishing, knowledge sharing, and so on? Other professions, too, could be seen as lacking impact - but they are still regarded as noble occupations - so what is the problem?

The answer proposed here is simple: It matters if library, information and knowledge professionals believe the profession's value to society warrants a continued and healthy future as a definable and attractive occupational path (Potter, 2010). If members of the LIK profession were to believe otherwise, they may as well accept the gradual dissolution of the profession as they know it now on the grounds that it is immaterial who performs the functions currently ascribed to library, information and knowledge professionals. From that point of view, so long as knowledge is captured, recorded, and made available for future use, it is unimportant what types of professionals have completed the work. Already, librarians in some academic institutions are being replaced by PhD students, technicians, and other kinds of staff, and corporate/government libraries are decreasing in number and/or size as expectations are fairly entrenched that knowledge workers - all those with information centric jobs - will handle their own access to and management of information as a matter of course.

Many professional librarians have been troubled by the common impression that 'a web search engine is all anyone needs for research' and express misgivings about elementary and secondary school students relying excessively on the Internet to support their learning. Hence, librarians strive to demonstrate the superior results they can achieve, the need for information literacy, and the ability to distinguish authoritative from flimsy or outright wrong information. The effort is an uphill battle in environments where time pressure and other factors force a 'good enough is going to have to be good enough' compromise.

However, if *no one* is doing the work of capturing and making accessible societies' collective knowledge, what would be the impact on businesses and public sector organizations when that memory is lost along with the librarians? Would it even be evident several decades hence that a lot of wheel reinvention is occurring? It may be asked: How did things get to this point? Is there an explanation for the LIK profession's lack of influence and hence lack of security? Of course there's the absence of the wow factor. Librarians are rarely at the forefront in media coverage because their work is usually without drama. But there is more.

IS IT JUST 'THE NATURE OF THE BEAST'?

It could be argued that some occupations inherently have an impact on society in ways information related occupations cannot. The engineers who gave us railroads and locomotives, and then the engineers who gave us cars and planes, fundamentally changed the way society and thus the lives of individual people evolved. It could similarly be argued that the Mechanics' Institutes and the Carnegie Libraries had a concrete effect on contemporary society by bringing books and education to a

much wider audience than had been the case previously. It would be more challenging to argue for similar impacts on today's world from the LIK professions. One view offered by a colleague was that "those in the business of providing information to others are supporting the full range of human activity no matter where on the hierarchy from basic survival to transformational triumphs - and that dilution weakens our profession's ability to move society ahead" (personal conversation, April 2012).

Indeed, in many ways our roles as service providers to and supporters of other professionals and the public puts us in an inherently auxiliary position. But there are key exceptions: Legal and medical research librarians aren't as anxious about their future professional status as other kinds of librarians are because the former are more tightly integrated with the work of legal and medical professionals. Professionals in law and medical research appear to be well aware how to apply their time optimally and to recognize the benefits of relying on librarians for research - at least in the initial stages. In addition, legal and medical librarians require extensive subject knowledge, a fact that may contribute more than anything else to the respect they enjoy by their colleagues practicing law and medicine.

IS IT A CHICKEN-AND-EGG PHENOMENON RELATED TO PERSONALITY TYPES?

Library, information and knowledge professionals are often able to list the names of colleagues they consider entrepreneurial, in-

spiring, trail blazing opinion leaders and role models. Still, is the old stereotype of the service oriented and passionately dedicated but unassuming personality of the LIK specialist correct, incorrect, or somewhere in between? As an illustration, collegial discussions raise questions such as these:

- LIK specialists have a strong affinity for adopting new technology and tools in aid of improving services to users. Are they, in general, equally keen to explore ventures of a more social character and forging relationships with local interest groups?
- Do the personalities attracted to information and library work tend to eschew the limelight, preferring the satisfaction of knowing they make a difference in the lives of their users?
- Is there something to the observation that skills in knowledge acquisition and protection, also known as research and curation, and skills in dissemination (outreach and persuasion) are sufficiently different that LIK professionals tend in one direction or the other?
- It took time before the notion of adding interpretive and analytical summaries - not to mention recommendations - to literature search or research results became common. Should the role of *advisor* be more strongly encouraged?

The exponential advancement of modern technologies has been one factor contributing significantly to making iSchools attractive for a wider range of students than the liberal

arts graduates of the distant past. However, an interest in the tools of the profession may not correlate with engagement in social movements or local politics. Significant social change has in the past been associated with charismatic personalities whose persuasive skills were obvious (Dr. Martin Luther King would be a good example). What is being done to attract more firebrand individuals with a gift for inspiring everyone they encounter?

SUSTAINING AND STRENGHTENING A PROFESSION: WHAT DO WE NEED?

Library, information and knowledge professionals may not be able to answer definitively the questions raised above, and it is a given that they won't be able to reinvent the profession from scratch. But it would be disappointing if the signals of fragmentation pointing to the potential dissolution of the profession over the long term were ignored.

Of course, the profession could focus exclusively on expertise in the myriad functional areas it encompasses (archives to digital rights management to social media, etc) without ambition for impact on politics, justice, community development, and the keeping of the record in controversial areas such as climate (to name a few examples). In other words, it could leave influence to the employers. What else?

The profession could resolve to push for a merger with education to create a seamless join between public libraries and schools. What about creating a "technical information management" branch to house all the disci-

plines now distributed across collaboration tools, records systems, document management systems, data management and visualization, etc? Would it work to define a "knowledge support" specialty to encompass all the roles now associated with research and subject matter expertise? Would such new groupings have the potential to assemble the fragments mentioned above into larger clusters?

What future *is* likely for the profession - in light of overall social, economic, and political developments and in light of the people who will "carry" the profession?

A good place to anchor such a discussion would be the opportunities for boosting the interest in leadership on the part of practitioners who would not self-identify as leadership material. If possible, stacking the deck with leadership ready innovators unafraid of the unorthodox would give the LIK profession added opportunities to assert its value and boost employment.

Below, the foundations of leadership and influence are touched upon. Finally, questions are raised as to how our profession's current leaders and influencers might plan strategically to enable current and future practitioners to increase their positive societal influence.

LIBRARY, INFORMATION AND KNOWLEDGE PROFESSIONALS' UNDERSTANDING OF, AND NEED FOR, PROFESSIONAL LEADERSHIP

Leaders appear everywhere. They can be found in the school yard and among colleagues and friends. They guide work teams and volunteer groups. The literature is replete with insight

into their personalities; features such as adventurousness and fearlessness are prominent among visionary trail blazers (Fook, Ryan, & Hawkins, 2000; Webster & Jones, 2009). It would seem they can't help themselves … it's in their personalities. Leadership is generally understood as an inclination to take on tasks without a manual or precedent.

In their spare time, leadership types within the LIK profession, regardless of their employment titles...

- Assume the post of chair of a student group at an iSchool.
- Arrange events for a local chapter of a national or international association.
- Chair an association committee or organize meetups.
- Serve on the board of directors of an association.
- Serve as president of a regional or subject based unit of an association - and eventually the association.
- Take on responsibility for organizing a conference.
- Write articles and speak at conferences, sometimes with controversial views.
- Instigate and innovate by spearheading initiatives.

For such contributions, the LIK profession's leaders have been deservedly honored in ceremonies held at annual conferences. Some individuals have commented on their surprise as they tentatively accepted a leadership role and then experienced the aha moment of realizing it wasn't nearly as daunting as they had at first feared. Others have stressed how the mentorship of a colleague made all the difference. Many point to a certain critical mass of confidence as the defining factor by indicating, as an example, how they felt ready to take on a volunteer role in an association once they felt on a firm footing in the workplace.

In their employment, non-management leader types may:

- Chair a task force and coordinate the activities of a complex project.
- Arrange professional development events for employees.
- Chair a workplace committee or a charity campaign.
- Take responsibility for organizing a major community event sponsored by the employer.

For such contributions, it is to be hoped these entrepreneurs will be appropriately compensated and promoted. After all, the stereotype is that individuals gravitating to library-like settings are introverted and anything but outgoing. Though many younger LIK specialists are indeed unafraid to be radical, the number of flamboyant instigators is significantly smaller than that of service minded personalities focused intently on being useful for their constituents.

Why is Leadership so Crucial to the Future of the Profession?

For the library, information, and knowledge profession to grow and remain strong in the decades ahead, it must rely on new generations of leaders and a steady supply of visionaries to tackle challenges like these:

- How can it be that even one graduate, in this day and age, comes out of an iSchool program thinking his or her future jobs will be within three kinds of libraries? What can the LIK profession do to clarify the many career opportunities in publishing, software development, search engines, content management, competitive intelligence, etc?

- How could partnerships with allied or 'neighboring' professions help? Should the LIK profession work to coordinate with movers and shakers in education, municipal government, and so on, to uncover the employment opportunities for graduates who know their way around information and the relevant tools for managing and communicating it?

- As the belief that 'everything you need is on the Internet' is likely to continue to prevail, what strategies could the LIK profession use to advance the cause of 'good information'?

- Similarly, how can LIK professionals use social media to communicate the distinction between authoritative knowledge and 'crowd conviction' that was originally blurred by social media interactions?

In order to create a supply of leaders and visionaries library, information, and knowledge professionals will need to examine ways to strengthen what could be called the 'magnetism' of the profession, the 'glamor factor' in popular terminology. Strengthening this factor could potentially generate a wider and clearer understanding of the occupational opportunities and scope for interesting and exciting jobs within the library, information, and knowledge profession, and thus increase the chance for library schools and professional organizations to attract entrepreneurs and instigators interested in making a difference in the world.

Our Understanding of Influence

Like leaders, influencers have been found everywhere there is more than one person: in the school yard, among college friends, on work teams, in volunteer groups, etc. A simplified explanation could be that leaders take charge of a tightly or loosely defined group of individuals while influencers impact minds irrespective of any grouping or personal leadership status. What makes an individual influential? Contrary to some schools of thought, flamboyance has nothing to do with it. Some influencers are seen as experts whose judgments and opinions carry weight. They are respected for their expertise, insight, knowledge, and wisdom, and it is well known the smart money is on their guidance. An example of a highly influential professional is Dave Pattern at University of Huddersfield Library (UK) whose system innovations and usage data mining have made a massive difference in easing users' access to electronic content (Kelly, 2010). Named Information Professional of the Year at the Information World Review awards in 2010, he attracts large audiences to his entertaining conference presentations packed with data on the impact of user friendly interfaces (Kelly, 2010). His is a strong voice in the movement asking "why do we insist on making mini librarians out

of our users?" Those working in the field of library systems understand how valuable it is to stay aware of his work and results.

Other influencers achieve impact because they inspire enthusiasm or determination and encourage others to spread their wings. Deb Hunt, long a prominent member of the profession and the 2013 President of Special Libraries Association, demonstrates her impact when she encourages colleagues to 'leap off the edge' into new places, professionally and personally (personal conversation, April 2012). Hunt's consultancy, Information Edge, had evolved from traditional areas of research and analysis along with library design and automation into digital, document, and enterprise content management (personal conversation, April 2012). Ever learning, she expanded her skills and expertise to encompass areas where there are many opportunities and much funding (personal conversation, April 2012). Hunt is passionate about what LIK specialists can do if they will only look beyond traditional roles and be willing to invest the time and money to grow to become more employable (personal conversation, April 2012). When Hunt hears someone say 'I don't have the money or time to learn new skills,' she replies '*If you don't invest in yourself, don't expect others to do so*' (personal conversation, April 2012). The advice may sound harsh, but Hunt recognizes that LIK professionals are sitting on a gold mine of potential. "Once we get the in-demand new skills, we must shout from the rooftops the value we bring to an organization. We need to walk the walk and talk the talk, so that everything we do demonstrates our value and expertise. If we don't get outside of our offices and our comfort zones, get involved in professional associations and networks both inside and outside the library realm, and invest in ourselves professionally, our jobs will go away. There are no excuses for not moving forward professionally. If we spend too much time wishing for the good old days, we will become just as obsolete as they are" (personal conversation, April 2012). Hunt pointed to knowledge management consultant Dianna Wiggins' comment in an interview in SLA's *Information Outlook*: "There are plenty of transferable skills we [must apply] rather than [being stopped in] our tracks. I'm not saying it's easy, mind you; it involves reframing and lots of introspection" (personal conversation, April 2012; Spencer, 2010).

If some individuals in the LIK communities have no trouble being influential in their respective specialty areas, what explains the profession's relative obscurity? Why is it LIK specialists aren't regularly hauled in front of the cameras to comment in the media on this or that trend or event or community challenge? How come the major political parties and the multinational corporations don't employ huge teams of policy and business advisors from the LIK world? How did it happen that school boards, municipal councils, medical boards, policy think tanks, and environmental groups - any entity with an impact on how our communities evolve - don't have seats reserved for LIK specialists? Is it possible the movers and shakers in a position to sway public opinion and governments at all levels are much too rare to achieve critical mass?

The Challenge of Working 'Over and Above'

It may be that some library, information and knowledge professionals' perceived passivity - for example doing one's job with excellence but not getting heavily involved in association activity or community activism - does not serve the interests of any individual LIK specialist, the profession as a whole, or indeed society at large. One symptom of passivity is the relative difficulty experienced in some smaller units of professional associations when it's time to recruit volunteers to run for office. There ought to be fierce competition for the slots on the board of directors, but in reality, there's often a sigh of relief when much cajoling and many promises of help result in an uncontested acclamation slate. Younger professionals may find it a challenge to carve out time for volunteer commitments for many reasons including raising a family, unfamiliarity with how to get involved, a misperception of what is expected from participating in a professional organization, and other personal or professional obligations requiring most of their non-work hours. It is often the case that a core of committed volunteers tends to shoulder the lion's share of the work in a professional organization. For this reason members of that core group, some due to nearing retirement, have been observed looking for ways to hand over the mantle of running committees and leading organizations to younger successors.

The search for successors has met mixed success, and it is not uncommon for older professionals to comment that younger professionals don't appear to be as convinced as the more seasoned professionals were that volunteer work in the relevant professional association(s) is a significant factor in career success. The younger LIK professionals may have found themselves quite at home in virtual groups, deriving in that manner the collegial support and professional development they seek. They may not see any reason to pay the annual membership fee for belonging to the regional or national association. Locally organized informal meetups do not have the apparatus of a board of directors, bylaws, financial reporting, and similar overhead. Participants simply show up, pay a nominal fee, listen to the speakers, and network. Such opportunities seem to suit them just fine. The popular TEDx events are a prominent example of the power of simplicity for the effective dissemination of ideas; see www.tedxlibrarians.com for a description of the TEDxTO (Toronto) June 2011 event on the theme of Librarians as Thought Leaders (Michael Stephens' summary of the day is at http://tametheweb.com/2011/06/28/tedxlibrariansto-librarians-as-thought-leaders/).

The rise of informal and non-traditional events may be viewed by some as heralding the demise of the venerated professional associations and their conferences. It has not happened, but there have been significant challenges in generating attendance at conferences hosted by professional associations. Overall, professional associations have struggled in the last several years to replace retiring members, and the economic crisis has put downward pressure on membership numbers. Current and potential members have understandably been asking what value (beyond the attrac-

tive features of collegial camaraderie and the resource materials offered) they receive in return for the annual membership fee, thus creating a recruiting challenge for professional association leaders.

Where is Professional Engagement Headed?

Of course, professional associations everywhere are reaching out to students with attractive offers of discounted membership fees, dedicated student groups, and so on. In practice, it seems many students are so overwhelmed with course work they have little time left over for investing in their future employment through membership in associations - if they are even able to identify the most appropriate one(s). Loyal (older) members often find themselves on panels explaining the benefits of membership - only to ask themselves later why a stampede to sign up did not occur.

A frequent question raised in collegial discussions is: *If [name of association] did not exist, would we invent it now - and if so, would we design it the way it is today?* Typically, the responses are along the lines of: *No, we wouldn't! Time has outpaced the original structure and activities!* Possibly one explanation for any hesitation to join and become active in an association is the perception such involvement will be time consuming; other reasons put forth include a belief that holding an official role requires specific qualifications and experience or a conviction that serving on a board of directors is tedious work that will not in fact lead to a better job or higher pay.

If associations were teeming with keen members eager to 'strut their stuff' in front of potential employers, filling the seats on committees and boards would be no trouble - thus opening up the scope for 'at large activism'. Perhaps managing the apparatus of a professional association is consuming energies that might be better applied to addressing challenges such as literacy, numeracy, and job search skills at the community level and political work at the national and international levels. Said another way - if we made the structure and functions of associations more flexible, could we liberate creativity and enthusiasm for activities with impact on the world beyond the association itself?

FUTURE DIRECTIONS: HOW CAN THE NEXT GENERATION OF LIK PROFESSIONALS BE ENOURAGED TO MAKE MORE NOISE?

Library, information, and knowledge professionals could accept that the LIK profession is dissolving as they are no longer the 'keepers of the keys' with unique control of any function. LIK professionals and organizations could choose to let the chips fall where they may as LIK graduates slog through job hunting as best they are able. That is not an attractive option. An alternative would be for new and future LIK professionals to take advantage of opportunities to participate in mentoring relationships; such a strategy could provide hope that LIKs can look ahead to an encouraging future.

Jill Hurst-Wahl, Associate Professor of Practice and Director of the Library and Information Science program at the School of Library and Information Studies (iSchool) at Syracuse University, commented: "I now know I was mentored by the colleagues I met when attending my first professional conferences. They were the people who pointed me toward specific sessions, pulled me along to evening socials, and ensured I would see value in attending again. They introduced me to a wider group of people who would in turn influence my professional life for years to come. I suspect none of these colleagues saw themselves as a mentor, yet each one of them was - even for one instant. What I learned from them is that we can encourage the next generation in a number of ways, including small activities. Sharing information with our up-and-coming colleagues, telling them about professional events, pointing out opportunities, sharing a ride (or a room), inviting them to a social or an organized program, introducing them to others in the profession, and taking an active interest in their work are all forms of encouragement and mentoring. The wonderful news is that while we encourage them, they also encourage us and teach us about the future of our profession." (Personal conversation, April 2012.)

Kim Dority, owner of Dority & Associates and author of *Rethinking Information Work,* has taught a course on alternative career paths for the University of Denver MLIS program for over ten years (2006; personal conversation, April 2012). Dority believes that part of the solution for developing strong leaders in the information profession, including in

libraries, lies in the graduate school curriculum (personal conversation, April 2012). She believes students should be taught leadership and 'influencer' skills throughout all courses and be given multiple opportunities to practice those skills (personal conversation, April 2012). "As a profession, we tend to be very good at establishing and following rules, and that's what we teach in most MLIS programs. And no doubt about it, those rules are important. But it's a business truism that we get the behavior we incentivize, and we need to find ways to encourage students to develop and master skills to get them a seat at the table. That means learning how to collaborate effectively with non-LIS groups, how to negotiate, how to sell ideas, how to ask questions and frame responses confidently in community meetings and corporate conference rooms and budget discussions. Our students need to learn to speak the language of their adversaries and their potential allies - and tell them apart. Bottom line: we need to groom students to excel when it comes to influence, impact, and effectively representing the profession - and themselves - in the broader world" (personal conversation, April 2012).

The statements and questions below are intended to encourage thought and discussion. Implicitly, they point to potential strategies, but it is reasonable to expect new ideas to emerge from attention to the need for impact generating 'noise makers' among our ranks.

A prerequisite may be to confront and wrestle with an unfortunate tendency to modesty (the personality type conundrum appears once more). The combined expertise and skills of LIK professionals deserve the kind

of sustained promotion some might consider 'shameless' and more suitable for the public relations or entertainment industries.

- How can the LIK profession better leverage the expertise of existing members who don't see themselves in visible leadership roles e.g. in campaigning for public library or school library funding, lobbying against cuts to government libraries, or advocating for changes in copyright law?
  - ◦ Would open recognition of the diverse skillsets of LIK professionals enable those less interested in 'lobbying' to support those more inclined, e.g. "we'll do the research leg work to back up your messaging?"
  - ◦ If the need for advocacy and the associated strategies and communication approaches were covered in detail in the graduate programs, would it be easier for each professional to volunteer for his or her most comfortable role throughout the career?

- How can future leaders and influencers be effectively identified, persuaded to participate, and groomed?
  - ◦ New graduates and younger professionals may be extremely engaged in their work and may in their busy lives lose sight how much they have to contribute to the profession, to business, and to society. The facility with new

tools they take for granted is only the beginning.
  - ◦ Some graduates are lucky enough to 'fall into' jobs suiting them perfectly, right out of school. Others happily accept their first job offers and learn only later on what kinds of activities and environments yield the greatest job satisfaction. Should we pay more attention to personality analysis during undergraduate and graduate school so as to assist with the development of insight into what is a good fit professionally?
  - ◦ When librarians notice an entrant to the profession with signs of innate skills in outreach, marketing, negotiation, and persuasion … what resources do can be orchestrated to encourage him or her to build those skills and use them not only for personal career success and for attracting more individuals of that personality type to LIK careers? What are the behaviors in which librarians have engaged in order to reward the entrepreneurship of these new professionals? Does profile building and personal ambition make a difference?

- What do library, information, and knowledge professionals need to do accomplish with existing graduate programs in order to boost the business and project management, real world related, qualifications on the part of graduates?

- No matter what graduates think they want to do with their degrees, they will not avoid the challenges of managing projects in their professional work.
  - Navigating corporate structures, doing strategic planning and undertaking complex technical planning is likely to be part of any graduate's career.
  - The requirement for skills in preparing and defending business cases for investments in infrastructure, content, and staff will only become more acute as budgets are likely to remain constrained for the long term.

- How can we boost graduates' people and political skills?
  - No one will be able steer clear of dealing with people in their professional work.
  - The need to compete with other departments' requests for funding will be a reality.

- What research is needed to demonstrate, and derive arguments from, the evolving ways in which library, information, and knowledge professionals make a difference in spheres as disparate as the quality of corporate decision making, the pace of scientific advances, and the evidence base for legislation?
  - Impact analysis is notoriously difficult as it is impossible to prove the degree to which one set of inputs, as opposed to another, have shaped a business decision maker's or scientist's thinking. In addition, advocacy will only grow in importance as technology developments and social connectivity continue to mushroom. An example of the difficulty of assessing impact is that 'most retweeted' is not proof of the validity of a statement or its worthiness of attention.

- What new strategies could be used to promote broadly the message that for tomorrow's businesses, governments, and research institutions, LIK credential holders are versatile and valuable team members with the background and skills to contribute significantly to positive outcomes? Said another way, how can we convince tomorrow's employers to 'hire a librarian - no, hire five!'?

Herein lies quite a number of future conferences, books, and courses!

CONCLUSION: A MODEST PROPOSAL

Deborah Keller, Research Librarian at the US Department of Homeland Security, offers a straightforward sounding but in fact radical proposal: "Why not focus on commonality - starting with finding a name for the umbrella under which we all fit? If we were to focus on our shared value to our clients, we could realize that our strength is actually in our diversity of skills, in our flexibility, and in our capability

to contribute something to any project and to find ways to support everyone in his or her unique endeavors. As professionals in an information and knowledge-based economy, we have the capability to make ourselves valuable to our colleagues and our employers in myriad ways. We are our own worst enemies in trying to be experts, like they are, rather than embracing our versatility. Our common ground lies in how we were taught to think about information - systematically, hierarchically, relationally, in networks, on timelines, using rules, and so on. It is such rigorous thinking, including the systematic way we approach problems, that unites us … not the subject matter or domain of the problems to which we apply the thinking."

She says about herself "I'm special *because* I'm a generalist. Being able to approach many different tasks from a base of ordered thinking and expertise in 'how information can be made to behave' *is* our strength. We're able to contribute to many different projects and communicate effectively with clients on a wide variety of subjects. I have finally realized being a generalist - a really good one - is a distinction, not a weakness" (personal conversation, April 2012). Her comment suggested that if more individuals saw themselves that way,

the LIK profession would be on the way to boosting its collective confidence.

Deborah points out how "the term librarian is outdated and does not entirely reflect the work we do. We may need to invent a new term to fit the 21st Century LIK - just as blogs, wikis, and other terms have come into the mainstream to describe technology and functionality that did not previously exist" (personal conversation, April 2012).

With that, all Library/Information/Knowledge colleagues are left with the question: What name shall bind them together, give them identity, and tell the world why they are worth their pay?

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KEY TERMS AND DEFINITIONS

Influence: The degree to which the opinions of an individual or group of individuals cause others to reflect and act.

Influence is Distinct from Power: A legislative body has the power to enact legislation; a single individual may have the influence to inspire a new political movement. Influence may coincide with societal stature but does not require it. Influential individuals and groups typically have an impact on their organizations and on society in general because their opinions are taken seriously by others.

Leadership: An activity undertaken by an individual inspiring others to take action. A person in a senior role may have responsibility and power but may lack leadership abilities.

Librarianship: The profession related to information, knowledge, repositories, libraries and the dissemination of content.

Profession: A community or group of individuals with a shared education and/or occupational path.

Professional Engagement: Voluntary activities such as work on a committee or board of directors. Taking on a role in a professional association is a sign of professional engagement over and above one's day to day employment obligations.

Professional Fragmentation: The (perception of) division of a single profession into subspecialties. A dermatologist and an endocrinologist may perceive themselves to be members of separate professions even though they are both physicians by original education. A webmaster in a private sector enterprise and a reference librarian in an academic library may perceive themselves to be members of separate professions even though they are both information professionals by original education.

Societal Stature: The regard others bestow upon certain members of society due to their occupational role - university presidents and astronauts as an example enjoy a high degree of esteem and prestige.

Chapter 2
Effective Recruitment Practices as Part of a Larger Plan

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ABSTRACT

This chapter explores recruitment. Recruitment is intrinsic to succession planning and management. Succession planning relies on external recruitment to bring appropriate individuals into the organization. In addition, because of succession planning's focus on developing and advancing individuals within the organization, internal recruitment is a key process. Recruitment is often subsumed within discussions of personnel selection, but it is a distinct stage in the employer-employee relationship. There is a substantial and growing body of empirical research on recruitment in the industrial/organizational psychology literature. It is important for libraries to learn from the body of empirical research on effective recruiting. The growing complexity and mutability of professional work in libraries is making it more difficult for libraries to attract and engage appropriate individuals for employment. Effective recruiting practice is becoming increasingly important for libraries, and it is a precursor to effective succession planning.

INTRODUCTION

Staffing and personnel selection are often identified as key aspects of organizational success, but less attention has been focused on the crucial activity of attracting and recruit- ing employees as a distinct process in itself. Recruitment processes are the initial stages of the continuum of the employee-employer relationship. Recruitment should be seen as a distinct process, but also as one piece of the larger human resources system of an organi- zation. As part of that system, recruitment is

the precursor of effective succession processes and planning. Recruitment is an essential part of ensuring that there are appropriate professionals to retain, develop, and advance in the organization.

It is important to distinguish recruiting for the profession of librarianship from recruiting by individual library organizations. Recruiting into the profession and into the appropriate graduate programs may ultimately be important to succession issues in the profession at a macroscopic level, but that is mostly beyond the scope of this chapter. The focus here is largely on recruiting by individual library organizations, although there is a clear linkage between recruitment into the profession and the pools of potential candidates that these organizations will be able to consider for employment.

In part, this chapter considers recruitment as a distinct process with its own activities, phases, and desired outcomes. Libraries face a number of challenges in recruiting. Some of these challenges are unique to the field while others are shared with a wide range of other organizations. Since library organizations need to be effective and successful in this process, success in recruitment requires that we deepen our understanding of it. In addition to examining recruitment as a distinct process, this chapter considers recruitment in the context of succession planning and the linkages between recruitment and succession planning. In examining recruitment and succession planning for library organizations, a systems thinking perspective is helpful. It has been suggested that "the tasks of human resources cannot be thought about independent

of one another" (Watson & Abzug, 2005, p. 626) and in many ways succession planning provides a structure for considering the interconnected parts of an organization's human resources processes. Succession of individuals within the organization is inherently tied to other parts of the organizational systems for human resources. Recruitment, selection, and training and professional development, all precede succession in the organization. Failures in these initial phases will impair success in executing a plan for succession.

BACKGROUND

Overview

In recent years there has been growing attention to recruiting librarians, but much of this attention has been focused on recruiting into the profession of librarianship. The strong job market of the late 1990's raised concerns about the ability of library organizations to fill positions as potential recruits found work in other related fields offering better pay. This resulted in efforts to publicize opportunities in the profession and to recruit into the library science masters degree programs. Perceived librarian shortages and concerns about attracting qualified individuals into the field have been the subject of much of the recruiting material in the library literature. As previously noted, the history and concerns of recruiting for the profession are distinguished from recruiting activities by individual librarian organizations and are considered separately.

More recently, library recruiting activities, and much of the library literature about

recruiting, have increasingly focused on diversity issues in the profession. Library organizations and the professional associations have recognized the need for greater diversity in the profession. This has led to a growing focus on recruitment into librarianship of a more diverse group that better reflects the increasingly multi-racial and multi-ethnic composition of the larger population (Neely & Peterson, 2007; Puente, 2010). The library literature also includes material about recruiting efforts of library organizations to increase employee diversity, often through residency or fellowship programs (Cogell & Gruwell, 2001).

Interestingly, the library literature has offered little on the activity of individual organizational recruitment beyond diversity concerns. There is scant consideration of recruitment as a critical component of organizational human resources systems. It is important to remember that libraries, like all employers, must effectively compete in labor markets. Frequently, libraries must compete against each other for the most talented and best qualified professionals. Libraries may at times also have to compete for talent against the private sector and non-library employers. Discussions of recruiting by individual library organizations in the library literature have been largely confined to treatment as an ancillary issue to personnel selection, with little consideration of it as an important and distinct process. Serious attention to recruiting has the potential to give individual library organizations a competitive advantage in attracting and employing the best qualified personnel.

Research on recruitment practices is largely in the domain of industrial/organizational psychology. The industrial/organizational psychology field has developed an extensive body of research on recruitment. The efficacy of employment advertisements, the role and effects of recruiters, the impact of selection procedures, employee referrals, the use of realistic job previews, and the mediating effects of applicant characteristics are among the more prominent issues explored. There are several useful summaries and reviews of the empirical research on recruitment that offer a broad overview of this area (Rynes & Cable, 2003; Breaugh, 2008). A deeper understanding of recruitment requires some consideration of this research. This research provides the empirical foundation for thinking about and designing effective organizational recruitment practices.

Recruiting for the Profession

A review of the literature shows that concern about recruiting for the professions is not a recent phenomenon nor is it limited to any specific type of library or area of specialization. Expressed concern has been noted back as early as the 1950s (Pellack, 2006). Articles about shortages of librarians in public libraries, school, libraries, academic/research libraries, and science/technology libraries have appeared with some regularity. (Hanken, 2010; Everhart, 2002; Hardesty, 2002; Pellack, 2006). Pellack's observation, ". . .and yet the problem has still not been adequately resolved" might easily be applied

to all situations dealing with recruiting to the profession. (Pellack, 2006, p. 55)

In some cases, the shortages seem to have been cyclical. In the early 1990s, "job seekers at the American Library Association annual conference still outnumbered the number of jobs registered at the ALA Placement Center by 1,053 to 582 (a ratio of almost two to one)." (Hardesty, 2002, p. 82). By 1997/8 through mid-2001, job positions advertised at the Placement Center began to outnumber job seekers "in a significant way" (Hardesty, 2002, p. 81). At the time of the writing of this chapter and the financial crisis and resultant economic recession that began in 2007, the pendulum certainly seems to have swung again to fewer available jobs.

There have been many theories as to why these shortages appear. Hardesty (2002) points out that between the late 1970s and early 1990s fourteen accredited library school programs closed. It has also been hypothesized that women, the predominant gender in librarianship, have had more career opportunities, which has reduced the number of individuals opting for a library degree. Similarly, in more recent years, opportunities in fields such as information science, particularly in the private sector, and careers with dot coms have opened up for those with library science degrees. These often higher paying jobs draw graduates away from positions in traditional libraries.

Other factors can play into the shortage of librarians. The field itself continues to suffer from a rather negative stereotype and rarely seems to be the first choice as a career. Taylor and her colleagues (2010), succinctly describe the popular image of a librarian as "an older ultraconservative woman shushing noisy patrons in a dusty library" (p.47). However they also point out that in actual fact, as a profession, librarians tend to be quite liberal, being against censorship, for the individual's right to privacy and for free access to information for everyone. They suggest that these qualities can be used to counteract the negative image of librarians and used as positive recruiting tools.

Several authors have pointed out that librarianship is often a second or even third career for many. The Association for Library and Information Science Education (ALISE) reported that in the 1990s most individuals entering library school were over thirty years old. (Hardesty, 2002). These career changers were often attracted by the intellectual stimulation offered by the variety of library work, the generally positive work environment, and the relative stability of the positions, the latter two often in stark contrast to experiences in the private sector. However, as the economy has declined, libraries in general have often been hard hit as more traditional work has been outsourced to private companies and more part-time and temporary workers are utilized as a way of reducing costs of benefits such as pensions and health insurance. Thus, the previous attraction of job security has lessened.

There have been a few attempts at the national level to recruit more individuals to the library profession. In 2001, the American Library Association started their "@ Your Library: The Campaign for America's Libraries" as a way to increase the public's awareness of what libraries and librarians offer. In 2003, the Institute of Museum and Library

Services (IMLS) launched a grant program called "Recruiting and Educating Librarians for the 21ˢᵗ Century." This program focused largely on recruiting ethnic minorities and individuals for rural and science libraries. In 1989, The American Library Association Office of Library Personnel Resources released *Each one reach one: recruiting for the profession ; action handbook*. The title alone reflects what is seemingly a consensus opinion that the most effective recruitment tool is the individual librarian who serves as a role model. As Pellack (2006) says, "Practicing librarians are, individually and collectively, the best advertisement for the profession." (p. 67). Librarians who provide outstanding service and are articulate and enthusiastic about their jobs undoubtedly do create a positive impression. However, few people seem to address the opposite situation. A negative experience, whether it is encountering poor service, rigid rules, etc. in a library or interacting with someone who is apologetic about being a librarian or reinforces the stereotype of the "shushing" librarian can be an equally powerful and damaging influence on a person's perception of the profession as a whole.

Another common theme in the literature relating to recruiting to the profession is "grow your own," which is echoed in the literature of succession planning. In the former context, the idea is to encourage library staff to earn professional degrees. In a *Library Journal* editorial, John Berry (2003a) reported that among his students, those already working in libraries "are the strongest students, the most committed" (p. 8). He goes on to write that "these are the best people the profession could hope to recruit. They have already decided to work in a library, they have experience in and are familiar with the culture and values of the field (p. 8). In a later issue, he offered both pros and cons on this topic. While acknowledging the positives in recruiting support staff, he also said that "most are older, and most are inspired by the library as it exists today. (Berry, 2003b, p. 38). The fact that support staff tend to be older means that they are also more likely to be settled and less inclined to be geographically mobile. Another factor to be considered in recruiting support staff is the potential for raising unrealistic expectations. Once a staff member is degreed, he or she might consciously or unconsciously assume that there will be a professional position available in the home library. If this is not the case, it can lead to disaffection for that staff member and potentially discourage others from pursuing a degree.

RECRUITMENT IN THE CONTEXT OF SUCCESSION PLANNING

Defining and Understanding Recruitment

The discussion of effective recruitment first requires a definition of recruitment. At the level of individual library organizations, recruitment is "is the process of generating a pool of candidates from which to select the appropriate person to fill a job vacancy" and although "the terms recruitment and selection are frequently used together, they constitute different stages in the overall process of employee resourcing" (Noon & Heery, 2008).

Recruitment is range of activities we engage in to attract and influence prospective employees. It includes the organization's interactions with prospective employees and conducting those interactions so that sought after prospects will be predisposed to accept employment offers.

The research literature gives us deeper insight into what recruiting entails. Breaugh (2008, p. 104) presents a model that includes four principal components. It includes recruitment objectives, strategy development, recruitment activities, and recruitment results. Job applicant variables are presented as an intervening force affecting recruitment results. This model gives a basic framework of first considering what the recruitment activities seek to achieve (objectives), how the organization will attempt to achieve those objectives (strategy), what will be done to carry out the strategy (activities), and finally, the results. The results are assessed by looking back to the objectives and evaluating how successful the strategy and activities have been in accomplishing the objectives. This model provides us a useful approach for thinking about recruitment by individual organizations and how we might design and develop better recruitment processes in library organizations.

Recruitment and the Linkage to Succession Planning

Succession planning and management is "the deliberate and systematic effort by an organization to ensure leadership continuity in key positions, retain and develop intellectual and knowledge capital for the future, and encourage individual advancement" (Rothwell, 2010, p. 6). The term succession planning may evoke a model of identifying a specific individual to be cultivated and developed to replace a key executive position. Succession planning of this sort is likely to be avoided by library organizations and will generally been seen as inimical to the values and practices of our organizations, particularly in the public sector. We may find some resistance to the notion of succession planning if it is understood in this limited fashion. In fact, "workforce planning" is the terminology more likely to be adopted in public sector organizations. Succession planning and management, however, should be seen as a comprehensive approach to meeting current and future staffing needs of the organization. It is not limited to planning for succession of the top executive officer or highest level administrative positions, but should address meeting staffing needs across a wide range of positions. In libraries, we may approach succession planning as establishing the processes for cohorts of individuals to prepare for possible advancement. Acknowledging that our organizations are typically committed to open, competitive recruitment and selection processes, succession planning may entail ensuring that there are groups of appropriately prepared internal candidates who can successfully compete in selection processes for higher level positions.

In the discussion of succession planning and recruitment it is useful to distinguish between external recruitment and internal recruitment. Internal recruitment refers to filling vacancies with individuals already employed within the organization. External recruitment refers to bringing individuals from outside the organization into it. Succession planning is in

large part focused on internal recruitment and consciously planning for filling positions from within the organization. However, external recruitment also plays an important role in succession planning and management.

Effective external recruitment at all levels is crucial in succession planning and management because it is the beginning of the pipeline that brings human resources into the organization. It is the precursor to the organization's selection processes. The value and outcomes of selection processes are, of course, quite dependent on the success of recruitment activities. Recruitment and selection in turn precede organizational training and development activities, which in turn precedes the advancement, or succession, of individuals within the organization.

External recruitment is important because it is first step in bringing new employees into the organization. It the beginning of the continuum of the employer-employee relationship and there is considerable evidence that what occurs in recruitment shapes employee expectations about the nature of the future relationship. Thoughtful recruitment is the opportunity for the organization to attract prospective employees with desired attributes, competencies, and values. Successful recruitment brings employees into the organization with the ability and the desire to develop and advance in the organization; that is, employees who have the potential to figure in the organizational succession plan.

Both succession planning and recruitment activities should ideally reflect the organization's strategic planning. Succession planning might be considered "just one prong of

strategic planning" and organizations need a solid base of strategic planning before they can tackle the future-related issue of succession planning" (*HR Focus*, 2005). The skills sets and competencies needed to accomplish strategic objectives must be developed within the organization, recruited from outside the organization, or most likely, acquired through both approaches. Succession plans should be derived from strategic plans, and recruiting, as one piece of the succession plan, should reflect the tie to strategic objectives. Libraries should identify recruiting objectives based on organizational strategic objectives. Attracting and engaging the appropriate prospective employees are critical to accomplishing the strategic plan.

Succession planning is sometimes discussed as having the potential to ease leadership transitions and to ensure continuity in the organization. The focus appears, at least superficially, on preserving the status quo. However, succession planning as part of the overall human resources system of an organization also has the potential to be an important tool for organizational change. Recruitment, in the context of a succession plan based on strategic plan objectives, presents the opportunity for the organization not just to continue itself, but to implement change. Strategic objectives may require attracting employees with significantly different competencies or values than those of current employees to support a change in organizational direction. Consciously changing the course of an organization may require purposefully changing the profile of employees brought into the organization.

Succession planning and recruitment are also related because succession planning has the potential to reduce the need for external recruiting. External recruiting is an inherently expensive and somewhat risky activity. The process itself includes significant direct and indirect costs. Vacancies, especially long-standing ones, also impose important costs on the organization. Many of us have faced the demoralizing effects of lengthy personnel searches that ultimately fail, while important work goes undone or is added to the workload of others. Succession planning offers the potential of reducing lengthy vacancies and the high costs of external recruitment.

Succession planning does not necessarily obviate the need for external recruitment. There may be positions in our organizations that a succession plan specifically acknowledges as appropriate for external recruitment. Positions that require skills, competencies, and knowledge not ordinarily acquired through library work and library and information science degree programs, may be positions that should be identified as requiring external recruitment. Such positions typically have no established career path within the organization, with significant developmental opportunities, leading to them. High level positions responsible for administration of computing and networking functions might be one example. In many smaller and mid-sized libraries, the development director and the human resources officer are also examples of such positions.

The appropriateness of external recruitment may also be dictated by timeframes or other considerations. Singer and Griffith

(2010) provide an interesting description of a succession planning exercise of the Columbus Metropolitan Library System. The succession planning exercise for replacement of the Executive Director included three scenarios: replacement in ten years, replacement in five years, and addressing an unexpected emergency replacement. For the scenario of replacing the Executive Director in ten years, "the recommendation for replacement was to look beyond the current leadership team" (p. 99). It is an example of succession planning explicitly determining that external recruitment is required.

EFFECTIVE RECRUITMENT BY LIBRARY ORGANIZATIONS

The Recruiting Challenge for Libraries

Libraries face significant and growing challenges in recruiting professional employees. The profound transformation of library work by information and communications technologies adds a complex skill set that is necessary in the modern organization. The pervasiveness of sophisticated information technology in the field of librarianship has required libraries to recruit individuals with strong skill sets across a wide range of information technology areas. Some positions in libraries are purely information technology positions and this especially has pushed libraries into difficult labor markets, competing directly with non-library employers. In many instances, however, these specialized skill sets do not replace, but must be overlaid on a traditional

knowledge base of librarianship. Increasingly, subject librarians in academic libraries must understand instructional design and instructional technologies. Archivists and rare books specialists must understand the development, presentation, and preservation of digital collections. Entire library departments are staffed just to develop and maintain the organization's Web site and a whole new family of library positions has arisen around the management of electronic resources. The Association of Research Libraries sponsored a survey of it member libraries' position descriptions in 2000. It found that "ARL institutions presently desire many different types of new positions that are designed to work with technology, networked environments, and digital libraries. In addition, many other positions have been redesigned to integrate technological competencies as part of the overall requirements and desired characteristics of their positions" (Simmons-Welburn, 2000, p. 1). Certainly, there has been considerable competition for librarians with strong information technology skills. This seemingly endless transformation of library processes and services through technology suggests that the competition for library professionals with sophisticated information technology skills will only grow fiercer.

Assessment represents another important area of knowledge and skills that are being added into the requirements for many library positions. Increasingly, professionals are expected to not only design and implement services, but also so assess the user satisfaction and outcomes. LibQual+, a user satisfaction survey offered by the Association of Research

Libraries has been widely employed by libraries. The LibQual+ Web site reports that "since 2000, more than 1,000 libraries have participated in LibQUAL+, including college and university libraries, community college libraries, health sciences libraries, academic law libraries, and public libraries (*LibQual+: Charting Library Service Quality*, 2011). Especially in academic libraries, there has been a trend in recent years to go beyond user satisfaction to measure objective outcomes of services. Information literacy and library instruction programs were the precursors of what is becoming a wider movement to assess outcomes of services. The Association of College and Research Libraries recently commissioned and published a major study, the Value of Academic Libraries Report (Oakleaf, 2010). The report provides a detailed review of approaches to assessing the impact and value of academic libraries. This assessment movement has had a growing affect on the skill sets sought by libraries in professional positions. A recent study found that 16% of job ads appearing in one of the major academic library news publications from 2004 to 2009 mentioned assessment as a job responsibility (Oakleaf & Walter, 2010). This trend is likely to increase and will present another challenge in recruitment. As assessment is added as an additional component or dimension of positions, there will be burgeoning demand for library professionals who possess these skills and abilities.

One of the enormous challenges facing libraries is attracting employees who are capable of working in environments of fast-paced change and who are capable of continu-

ous learning as part of their job duties. The accelerating rate of change in information technology is only one force that is constantly reshaping job content. The growing service orientation of organizations is also changing the nature of library work and is related to the focus on developing assessment tools and outcomes measures. As services are assessed and outcomes measured, the expectation is that the findings will drive changes in services and how they are delivered. These forces all contribute to a mutability of job content that requires the recruitment of individuals who are both capable and motivated to do new things in new ways on a regular basis. We find "at the same time jobs require greater technical adaptability, they also require greater social and cultural adaptability" (Ployhart, Schneider, & Schmitt, 2006, p. 5). Individuals must be recruited who not only engage in ongoing learning, but have a set of attributes that support success in high change work environments. In the parlance of personnel psychology, "flexibility and adaptability, in technical and social competencies, attitudes to work, and task- and not-task related behaviour will be called for" (Anderson & Herriot, 1997, p. 24).

The aging of the workforce and the likelihood that there will be large scale retirements in the not too distant future is another recruitment challenge facing libraries. The American Library Association finds its membership aging (Davis, 2006). There has been considerable attention to the aging of academic librarians. Interestingly, "librarianship has been older than all but a handful of comparable professions since 1970. Librarians in ARL libraries are somewhat older than librarians generally" (Wilder, 1995, p. 57). Although the large scale wave of retirements that was anticipated has not yet appeared, it probably is coming. It now appears that "the real wave of retirements will not come until about 2020 (Lewis, 2010, p. 4). Library organizations may be faced with larger scale recruiting than most are accustomed to undertaking. The difficulties will be exacerbated by the problems of having to replace highly experienced workers and competing for individuals with the necessary skill sets.

Another difficulty for library recruiting is the disinclination of potential employees to relocate. The library literature has noted the pronounced tendency of graduates of library and information science programs to take their first professional position in the state where their graduate program is located, and to overwhelmingly stay in the same region where their graduate program is located (Association of College and Research Libraries, 2002, p. 16; Ard, Clemmons, Morgan, Sessions, Spencer, Tidwell, & West, 2006, p. 243). Academic libraries routinely pursue national searches for their librarian positions and many large public library systems regularly conduct national recruiting programs, especially during times of expansion. It appears, however, that we may be undertaking national recruiting efforts in the face of considerable resistance from potential employees. The disinclination of employees to go through major geographic relocation isn't just a trend in librarianship, but is seen across all fields. One recent survey of American workers found that "only 38% would be willing to relocate for their job" (*Business Wire*, 2011). The difficulties of persuading

potential employees to relocate, as well as the significant costs of assisting new employees with relocation, are significant problems in external recruitment.

One of the notable challenges that libraries face in recruiting is salaries. The relatively low salaries of librarians are problematic at several levels. Recruitment into the profession is affected by low salaries and it will be difficult to attract individuals of high potential with sophisticated competencies and skills into the field. The salary issue is also a problem at the level of recruitment by individual library organizations. Most are probably not prepared to deploy the resources necessary to recruit successfully as the desired competencies become more and more complex and sophisticated. The *Library Journal*'s survey of placements and salaries of 2009 library and information science masters graduates reported an average beginning average salary of $42,215 (Maatta, 2010). The 2008-2009 salary survey of the Association of Research Libraries reports an average salary of $50,540 for professionals with 0 to 3 years experience (Kyrillidou, 2009). These salaries compare poorly to salaries of a number of fields at the bachelors degree level. The National Association of Colleges and Employers [NACE] reported an average starting salary for bachelor degree in computer science graduates in the class of 2011 to be $63,017. Information sciences and systems graduates were reported to be receiving average salaries of $56,868 and business systems networking/telecommunications graduates were receiving $56,808 (NACE, 2011). The relatively low salaries for masters-prepared librarians make the profession less attractive than other fields. In addition, the generally low salaries for librarians have left library organizations unprepared to compensate librarians with strong organizational and technical skills appropriately. The depressed levels of librarian salaries probably also leave libraries unprepared to meet the salaries expectations of professionals from other fields, such as information technology, upon whom we must increasingly depend.

What We Know About Recruitment

There is, of course, the substantial body of industrial/organizational psychology research that can inform us about recruitment. In planning recruitment activities, being mindful of some of the research findings can help assure greater success.

Some of the research findings are fairly straightforward and readily lend themselves to adoption in the recruitment processes of libraries. The research tells us that recruitment materials are more effective if they contain more detailed information about the position and the hiring organization. The sources of applicants also matter. Applicants referred by current employees are found to be more likely to be better performers, with lower rates of turnover. In addition, it is important to provide applicants with accurate and in-depth information about the organization so that they can effectively assess the "fit." (Ryan & Tippins, 2004). Simple measures by the recruiting organization, such as timely communication with applicants through the stages of the recruitment process also influences whether applicants remain in the pool and "it

is important to note that highly qualified applicants who have multiple job alternatives are most strongly affected by delays" (Gatewood, Feild, & Barrick, 2008, p. 14). Initial research indicated that the role of recruiters in influencing job search and decisions by applicants was insignificant. Subsequent research findings, examining how applicants assess the "fit" of an employer, suggest that recruiters may have a more important role than previously thought. The findings indicate that "although perceived job and organizational attributes were the major determinants of perceived fit, recruiters and other organizational representatives were the second most important" (Rynes & Cable, 2003).

The research on recruiting also tells us that we must be sensitive to applicant's reactions to selection methods. "Face validity," is the concept the selection methods being used appear on their face to be appropriate and measure job-relevant attributes. It is important that applicants perceive screening and selection methods as being fair and just. Screening and selection approaches that are viewed by applicants as being inappropriate or overly intrusive will have the effect of shrinking the applicant pool. One recent review of recruitment research tells us that once job seekers have applied for a position, "perceived fairness of the selection process" becomes an important consideration (Dineen & Soltis, 2010, p. 46).

These research findings should inform our recruiting practices. The goal is to attract appropriate applicants, support the applicants' process of assessing fit with the organization, and succeed in eliciting acceptances of job of-

fers from the well-qualified. It is important to be mindful of the interactions with applicants and to be timely in communicating with them. Libraries need to manage their image and organizational "brand" in presenting themselves in recruitment.

Peter Drucker articulated the idea that knowledge workers must "be managed as if they were *volunteers*. They are paid, to be sure. But knowledge workers have mobility" (Drucker, 1999, p. 20). It is useful to extend Drucker's assertion about knowledge workers to recruitment activities. In addition to being managed like volunteers, knowledge workers will have to be attracted and recruited like volunteers. Library organizations will increasingly have to design recruiting activities with the understanding that the most sought after professionals have many choices available to them. Just as in recruiting volunteers, the knowledge workers we seek must find themselves drawn to the organization's mission and values. Conveying information about the engaging and challenging nature of the work itself and clearly communicating the connections of that work to the organizational mission, will be important in influencing prospective applicants. It is especially instructive to consider the idea of knowledge workers as being like volunteers, in light of the behavior of volunteers. Most of us can readily call to mind situations of volunteers, who in addition to working without pay, oftentimes do so under difficult or very challenging circumstances. Clearly, the organizational mission and value of advancing it motivates volunteers. Organizations that can and do articulate a compelling mission, and convey the importance of

individuals' job roles to that mission, may enjoy a significant advantage in recruiting knowledge workers.

There are surveys and discussions in the business literature that suggest that training and developmental opportunities are an important consideration in job choice for many applicants. A 2007 compensation survey found that "companies are stepping up their career training and detailing out to employees what they need to do to move to the next level or advance their career in some fashion. This has tremendous appeal, making it an invaluable attraction and retention tool" (What Steps Will Best Attract & Retain Employees?, 2007, p. 12). It appears that succession planning through its focus on employee development and advancement could be a valuable tool in enhancing the attractiveness of an organization to potential employees.

It is useful here to consider the concept of the psychological contract and its implications for recruitment. According to Noon and Heery (2008), the psychological contract is the unwritten understanding that reflects "beliefs of each of the parties involved in the employment relationship about what the individual offers and what the organization offers." They suggest that there are fundamental changes occurring in the psychological contract and that "in particular, it is suggested that the employee should be willing to offer commitment and high performance to the organization and expect to receive individual development in return."

This notion of psychological contract should inform the external and internal recruiting activities of library organizations.

We should recognize that in external recruiting, the initial formation of the employer - employee relationship begins in the messages that are communicated in recruitment materials such as position announcements and job advertising. Rafaeli poses several important ideas about the initial framing of employment relationship in job advertising. He suggests that "relationships between employers and employees may begin to form before an individual formally applies for, or accepts a position of employment" (2001, p. 258). He also describes two polarities in alternative employment relationships that are found in employment advertising. One is the more formal, calculated relationship that is focused on existence needs such as salary and benefits. The other is more emotional, engaged, transformational, and focused on higher level self-actualization needs. Clearly, we will increasingly need to emphasize aspects of jobs and the work environment that express the expectation of the latter employment relationship. Increasingly, professional work in libraries with its emphasis on teamwork, continuous learning, and flexibility, dictates this. In approaching external recruitment activities, the communication of the more involved, engaged relationship will be important in developing position announcements and advertising for professional positions. The employment relationship that is conveyed by the messages of position announcements and advertising may have important implications for the ongoing relationship between employer and employee. It may also signal important elements to prospective employees that serve as attractors and shape understanding of the

employment relationship at the earliest stages. The employees that we must recruit are those who seek to be deeply engaged in their job responsibilities and relationships with colleagues, and who seek a stimulating work environment.

Internal recruitment is inherently part of succession planning and the antecedents of successful internal recruitment should be considered. Internal recruitment relies on the presence of pools of suitable candidate within the organization. Retention of superior employees becomes a critical component to support success in internal recruitment. Retention is driven by two principal constructs: job satisfaction and organizational commitment.

Job satisfaction is at best a complex concept, difficult for organizations to control, and is strongly affected by individual employee attributes. It is also, however, "a consistent and significant predictor of turnover" (Ployhart et al., 2006, p. 247). The fact that job satisfaction has multiple determinants and is dictated in large part by the predispositions of individual employees, suggests that measurably effecting or improving it may be difficult for an organization. Attention should be paid to job satisfaction, however, and the use of climate survey instruments may be useful for understanding workplace concerns that effect job satisfaction. Ployhart et al. (2006) suggest that the use of instruments measuring the broadly described quality of work life may helpful.

In the library realm, an interesting example of such a climate survey tool is the Association of Research Libraries ClimateQual assessment. The ClimateQual survey, while quite

clearly not a job satisfaction tool, touches on important aspects of employees' perceptions of organizational consistency and fairness. The ClimateQUAL instrument seeks to measure and help create "healthy organizations." A healthy organization is one "in which the policies, practices, and procedures are administered fairly and employees believe that they are treated fairly" (ClimateQUAL). The ClimateQUAL program is focused on correlating employees' experience of fairness and consistency in the organization with the quality of service and customer satisfaction. It does, however, touch on a number of issues of organizational justice and fairness that would likely impact job satisfaction of individuals within the organization.

Organizational commitment is the other major antecedent to retention. We find that "for the typical employee to be committed in both attitudes and behavior, the employee must have behavioral evidence that the organization is committed, too" (Ployhart et al., 2006, p. 251). This echoes the concept of the psychological contract and the expectations of mutuality. This suggests that library organizations should carefully consider approaches to expressing commitment to employees in ways that are visible. Succession planning is predicated in part on retaining, developing, and advancing employees within the organization. The development and presentation of a succession plan and a clear organizational commitment to succession management are in themselves important signals of the organization's commitment to employees.

LOOKING TO THE FUTURE

As we look to the future, several questions present themselves about recruitment and succession planning. One of the most interesting is the role and effect of succession planning on employee perceptions of organizational attractiveness. Will succession planning efforts by library organizations have positive impacts on both internal and external recruitment efforts? The explicit interest in supporting, developing, and advancing employees that is reflected in succession planning activities would appear to have the potential to be very helpful in recruiting externally. We might expect that it would also support retention and express organizational commitment to employees within the organization. It will also be interesting to see if empirical research is undertaken that examines whether succession planning positively effects internal recruitment by improving retention of high-performing employees.

With the growing interest in formal succession planning in libraries, we may expect that more library organizations will consciously develop and implement such plans. Future research in the library literature is needed about how succession planning efforts by libraries are perceived and received by employees. It appears that there is little research available about employee perceptions of succession planning and it will also be important to continue to review the industrial/organizational psychology literature about employee perceptions of succession planning.

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KEY TERMS AND DEFINITIONS

Climate Survey: A climate survey is a questionnaire that collects data on employees' feelings and perceptions about the workplace environment.

External Recruitment: External recruitment is the process of attracting and influencing individuals who are outside of the recruiting organization.

Industrial/Organizational Psychology: Industrial/Organizational Psychology is the branch of psychology that is focused on workplace and organizational concerns.

Internal Recruitment: Internal recruitment is the process of attracting candidates for positions from among those who are already employed within the organization.

Job Satisfaction: Job satisfaction is the measure of how much an individual likes, or dislikes, their job. It is a complex concept and has multiple determinants. Individual employee predispositions and attributes are an important influence on job satisfaction. It is an important predictor of employee turnover.

Psychological Contract: The psychological contract is the unwritten understanding between an individual and the employing organization about the mutual benefits that accrue to each through the employment relationship.

Recruitment: Recruitment is a range of activities we engage in to attract and influence prospective employees. It includes the organization's interactions with prospective employees and conducting those interactions so that sought after prospects will be predisposed to accept employment offers.

Chapter 3
Mentoring for Retention, Promotion, and Advancement:
An Examination of Mentoring Programs at ARL Institutions

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ABSTRACT

Mentoring can play a key role in the career development of librarians. Formal mentoring programs are often available for students enrolled in graduate library and information science programs, for early career professionals through a variety of professional associations, and for librarians at the institutions in which they work. The goals of these mentoring programs may vary, and can range from orientation to promotion or retention and even to advancement. Using the 115 Association of Research Libraries (ARL) academic members as a population, this chapter examines the mentoring practices that may be in place at these institutions by closely reading and analyzing the existing mentoring documentation that was available on their Websites. In all, 22 ARL institutions had mentoring documentation available for analysis. The findings indicate that a large majority of the mentoring programs studied have defined orientation and promotion as their main objectives, while far fewer make any mention of advancement or leadership development as their objectives. Further research is recommended to study both formal and informal mentoring opportunities at ARL institutions.

INTRODUCTION

Mentoring is a commonly accepted practice in the field of librarianship. Library organizations, be they individual libraries or professional associations, have myriad mentoring options available to aid in the orientation, retention, promotion, and advancement of librarians. Mentoring can take place in a variety of ways, through formal programs, such as traditional mentoring where a seasoned professional is matched with a nascent professional in a one-on-one dyad, or through structured group and peer mentoring. Additionally, a combination of formal and informal mentoring may also take place depending on the objectives and local practices for a given library organization. Informal mentoring can also occur, where a person seeks out mentors from a variety of sources, including colleagues, administrators, or peers within or outside their organization (Zabel, 2008). At its core, mentoring provides a framework for both institutional best practices and knowledge to be passed down from a more experienced member (the mentor) of an organization to a newer one (the protégé), while also presenting the opportunity for career development for those new to an organization (Kram, 1985). Aside from the potential benefits inherent in the mentoring relationship whereby the mentor may experience satisfaction in aiding a colleague or renewing a purpose in the profession, and whereby the protégé may be acculturated and promoted, mentoring pro-

grams can benefit the library organization as a whole through orientation and retention (Lee, 2011).

In academic libraries, formal mentoring programs are often geared toward new employees, intending to guide them through the tenure or promotion process (Murphy, 2008). This, in essence, is a retention strategy, ensuring that new librarians receive guided support to fulfill the requirements for tenure or promotion that often include: independent research, scholarly publications, and service to professional associations, the library in which they work, and to the institution of higher education which they serve (Wilson, Gaunt, & Tehrani, 2009). Since requirements for tenure or promotion can vary by institution, each formal mentoring program can be unique and tailored to the practices and needs of each particular library organization. In addition to retention, some academic library organizations may leverage mentoring programs as tools for succession planning; focusing on advancement within the organization by fostering the development of leadership and management skills. This chapter will examine each Website of the 115 academic institutions of the Association for Research Libraries (ARL), to determine if any information on formal mentoring programs can be found. If so, what are the main objectives of the formal mentoring program, and is there any language in the objectives which could indicate advancement or leadership and management succession into the formal mentoring program?

BACKGROUND

Introduction

The topic of mentoring is both prolific and extensively found in the research and professional literature of library and information science. Examples from the research literature discussed in this section will focus on formalized mentoring programs at academic libraries. These programs fall into three main categories: traditional mentoring, peer or group mentoring, and hybrid mentoring models that combine elements of both of the preceding programs. The Additional Reading section at the end of the chapter contains a number of sources on mentoring, including those from other disciplines such as business, education, and human resources; this list is broader and more inclusive than the focus of the literature in this Background section.

In preparation of discussing the literature in the three categories previously described, there are two examples from the literature that concern mentoring in academic libraries from a more general or holistic perspective. Culpepper's review of the literature on mentoring academic librarians outlines and defines the major concepts of mentoring programs, including the process, participants (mentees and mentors), benefits, and pitfalls (2000). Culpepper stresses that a successful mentoring relationship depends on evaluation and feedback, so communication between participants is a major factor to consider in supporting programs. Neyer and Yelinek explore intergenerational communication, among other mentoring experiences, in their survey study aimed at academic librarians in

Pennsylvania (2011). Their findings indicated that respondents with a high rank status (library director, full or associate professor) were primarily from the Baby Boom generation, while librarians in positions with low rank were often from the NextGen or Generation X (Neyer & Yelinek, 2011). In traditional, one-on-one mentoring relationships, it is likely then that the mentor may be from one generation and the mentee or protégé from another. Members of distinct generations may have different views on work and communication styles which can be a challenge in developing mentoring relationships in an organization (Lancaster & Stillman, 2002).

Traditional Mentoring Programs

The library and information science literature contains numerous studies which discuss formal traditional mentoring programs in academic libraries. A targeted selection of these studies is contained herein. In 1999, the Association of Research Libraries (ARL) examined formal mentoring programs in place at their member institutions. Through a survey study, Wittkopf determined that twenty-one ARL libraries had a formal mentoring program (1999). Libraries that indicated they had mentoring programs provided documentation of their programs, and a sample were included in Wittkopf's *Mentoring Programs in ARL Libraries: A SPEC Kit* (1999). The documentation provided includes policies, guidelines, checklists, and applications as appropriate (Wittkopf, 1999).

Two of the institutions included were further discussed in case studies that detail

the development, implementation, and assessment of their mentoring programs: the University of Delaware Library and Louisiana State University Libraries. Wojewodzki, Stein, and Richardson outline the process by which the University of Delaware Library developed and implemented its three-tiered formal mentoring program (1998). In order to meet the mentoring needs of librarians at various stages in their careers, different "levels" of formal mentoring were created: Level 1, short in duration, for new professionals or new librarians to the organization; Level 2, a career-stage level for experienced professionals interested in promotion to higher ranks; and Level 3, an advanced level for mid-career professionals aiming to develop skills for administrative positions (Wojewodzki et al., 1998, p. 4). Their study also discusses an assessment of the mentoring program, with feedback garnered from mentor and mentee evaluations; informal relationships continue after the formal mentoring relationship has ended, which the authors indicate as a measure of success (Wojewodzki et al., 1998).

The mentoring program discussed by Kupyer-Rushing at Louisiana State University (LSU) Libraries differs from the previous example as its focus is to help tenure-track librarians achieve promotion by meeting the requirements for tenure (2001). The author describes the development process LSU implemented to create their mentoring program, which included a survey to all library faculty designed to ascertain research and service interests, experiences and expectations of mentoring, and to identify persons with whom they could not work (Kupyer-Rushing,

2001). One challenge to assessing the success of the program included organizational volatility (several participants leaving LSU Libraries) (Kupyer-Rushing, 2001). Another challenge related to the stated goal of the program as helping mentees achieve tenure; there are multiple factors involved in tenure considerations, and it would be impossible to isolate the mentoring program on its own to determine its impact (Kupyer-Rushing, 2001).

Peer and Group Mentoring Programs

Unlike traditional mentoring, which relies on the one-on-one, mentor-to-protégé dyad, peer and group mentoring involves members that belong to different levels in an organization's hierarchy. Peer mentoring is based on a multiple mentoring approach, where variety of experience contributes to a more holistic understanding of the organization and one's place in it (Mavrinac, 2005). This approach allows greater flexibility for the mentor, mentee, and the organization as peer mentoring is more inclusive. Like traditional mentoring, training is necessary to define outcomes and outline expectations (Mavrinac, 2005).

Similar to the literature on traditional mentoring programs, much of the relevant literature on peer and group mentoring is based on case studies of individual library organizations. Fyn examines the development and implementation of a peer mentoring group at Bowling Green State University (BGSU) Libraries. Librarians new to BGSU discussed common interests at an initial meeting, and determined the research and publication process of peer-reviewed journal articles, as

a requirement for tenure, garnered the most interest (Fyn, 2012). Meetings held in a seminar style allowed for open-ended discussions on research interests; the representation from various library departments strengthened the group and allowed for greater collaboration (Fyn, 2012). "A peer mentoring approach diffused the workload and responsibilities related to tenure-track activities so that tenured colleagues and supervisors would not be overburdened by mentoring several individuals," (Fyn, 2012, p. 334).

Lee discusses the research committee at Mississippi State University (MSU) Libraries, which organizes workshops and programming to support the research process of its librarians (2005). Over the course of one academic year, topics for workshops included the editorial review process, an overview of research resources available for use at MSU, and how to evaluate research articles; the meetings were informal and hands-on when appropriate (Lee, 2005). The committee co-sponsored a daylong retreat for untenured librarians, allowing the participants to discuss research issues without their supervisors in attendance; additionally, several more workshop topics were generated by the discussion (Lee, 2005).

Similarly, concerns about research and scholarship drove the creation of the Junior Faculty Research Roundtable (JFRR), a peer mentoring group at the City University of New York (CUNY) (Cirasella & Smale, 2011). Because of the dispersed nature of CUNY, members of the JFRR communicate both in person at meetings and events, and online via an email list (Cirasella & Smale, 2011). Through ongoing assessment using email

questionnaires, the group can be nimble to continue to meet members' needs (Cirasella & Smale, 2011). One limitation to the peer mentoring group has been the campus- and college-specific requirements for tenure, a role that, as discussed above in the previous section, is addressed by the more traditional mentoring programs (Cirasella & Smale, 2011). However, Cirasella and Smale note that the community aspect of the JFRR counteracts the solitary nature of writing, aids in maintaining focus on members' research projects, and provides opportunities for networking, learning, and collaboration (2011).

Henrich and Attebury discuss the creation and implementation of a Community of Practice (CoP) at the University of Idaho Library, whose primary function was to help each untenured librarian find his or her own path to tenure and promotion (2010). Like other peer mentoring models, membership in the CoP at University of Idaho was voluntary and diverse, from various library units; the programming involved time for discussion and allowed for collaborative opportunities (Henrich & Attebury, 2010). Assessment of the first year of the CoP was done through an informal survey; the majority of the members surveyed found the group to be beneficial to their professional development (Henrich & Attebury, 2010). Similar to the other models of peer mentoring mentioned above, the more informal nature of the group allows for speedy adjustments in response to feedback and assessment.

Lieberthal discusses peer mentoring in a retreat setting (2009). The junior faculty at Stony Brook University Libraries organize

a one-day retreat during which they present on-going research and practice upcoming conference presentations, participate in poster sessions, and end the day in a group discussion about the library where they can express their personal views in a supportive setting (Lieberthal, 2009). The learning and values developed as a group at the retreats "may influence the larger library organization and assist faculty to develop strategic goals" (Lieberthal, 2009, p. 38).

Hybrid Mentoring Programs

In her analysis of the human resources development literature, Murphy argues that traditional mentoring relationships, on their own, cannot develop "tomorrow's library leaders," as library career paths continue to rapidly evolve (2008, p. 434). Murphy identifies developmental relationships such as dialogue groups, networks, mentoring circles to facilitate ongoing learning throughout the course of one's career, similar to the peer mentoring groups discussed in the prior section: "While the traditional hierarchical mentoring relationship does not necessarily need to be abandoned, its value in concert with other forms of developmental relationships resides in its ability to expose the individual to a wider variety of perspectives, experience, and tacit knowledge" (2008, p. 437). The following case study articles focus on hybrid mentoring models as they evolved at individual institutions to meet the changing needs of their employees.

Ghouse and Church-Duran provide a history of the mentoring program at the University of Kansas (KU) Libraries, tracking its initial use of traditional mentoring relationships for the purposes of promotion and tenure, to its eventual inclusion of all library faculty and staff in a blended, hybrid mentoring environment (2008). The first iteration of the mentoring program was based heavily on the model established by LSU Libraries (Ghouse & Church-Duran, 2008). Various assessments and administrative changes over several years provided the opportunity for the mentoring program to "shift from an emphasis on tenure and research support to an approach centered on fostering cultural awareness, confidence, building, and other developmental opportunities for the mentee" (Ghouse & Church-Duran, 2008, p. 382). This example is a glimpse into how one library organization remained flexible during a time of rapid organizational and administrative change, and modified their mentoring program to meet these newly identified needs.

Farmer, Stockham, and Trussell discuss the revitalization of a formalized mentoring program at Kansas State University (KSU) Libraries. Much like the initial mentoring program at KU Libraries, the primary goal at KSU Libraries was for promotion and tenure, and was achieved by matching a protégé to a mentor (2009). Consistencies in the quality of mentoring led to a revision of the goals of the mentoring program, and led to a focus on "the development of the person in all aspects of professional life," not just in achieving promotion and tenure (Farmer et al., 2009, p. 10). Additionally, group mentoring was added for new employees, allowing them to communicate with each other along with

their assigned mentor. Assessment of the re-designed mentoring via survey indicated that the more holistic approach combined with the group mentoring was a success (Farmer et al., 2009).

When librarians were granted faculty status at the Z. Smith Reynolds (ZSR) Library at Wake Forest University, a new formal mentoring program was launched to offer different mentoring opportunities (Keener, Johnson, & Collins, 2012). The mentoring committee combined a traditional, one-on-one mentoring relationship with group mentoring to meet the diverse needs of librarians throughout the organization (Keener et al., 2012). Panel discussions led by ZSR librarians enabled peer-to-peer knowledge and information sharing; similarly, the creation of journal reading groups allowed those participating in the traditional mentoring relationships to read and discuss current mentoring literature and discuss its relation to their organizational development (Keener et al., 2012).

Bosch, Ramachandran, Luevano, and Wakiji describe the mentoring model created and implemented by the California State University, Long Beach (CSULB) library, the Resource Team Model (RTM) (2010). In the RTM, a new librarian to the CSULB library is matched with a triad of mentors, each of whom has expertise in a library function; it is short-term in nature (six months), and is intended to guide and support the new hire (Bosch, Ramachandran, Luevano, & Wkiji, 2010). The RTM structure with three experienced mentors allows for multiple perspectives to be heard by each mentee, which incorporates elements of group mentoring within a structure similar to traditional mentoring relationships(Bosch et al., 2010). The authors also note that the RTM model is evolving and is in need of an expanded assessment component (Bosch et al., 2010).

Mentoring and Advancement

Examples of mentoring programs that have advancement or managerial training as a goal are sparse in the literature. Aside from the mentoring program detailed by Wojewodzki, Stein, and Richardson at the University of Delaware Library, which included in the a mentoring level specifically for experienced librarians looking to move into administrative positions, none of the other mentoring programs, traditional, peer and group, or hybrid, had advancement as a goal (1998). Wayman, Walker, & Shank detail the development of an Administrative Leadership Development Program (ALDP) at Pennsylvania State University (PSU) Libraries (2011). While not part of the organization's formal mentoring program, which emphasized promotion and tenure, the ALDP is an example of an initiative developed to meet the needs of future library leaders; its three main components include mentoring, fellowship, and leadership development training (Wayman et al., 2011). The ALDP mentoring component mirrors the tenure-track mentoring program in pairing an experienced library administrator with a librarian in a traditional mentoring relationship; goals of the program include "learning about administrative positions, developing leadership skills, becoming familiar with different leadership styles, building a network

of colleagues, and even determining whether an administrative is a right fit for him or her" (Wayman et al., 2011, p. 72). Group mentoring occurs in cohorts of librarians participating in the ALDP, so the mentoring component is a hybrid one.

While these are just two examples of mentoring programs that focus on advancement and leadership development, it may be argued that libraries, and in turn their mentoring programs, are on their way to redesigning their approach in a rapidly changing environment. Munde places mentoring programs within the framework of succession planning (2000). As library directors, administrators, and senior librarians retire, there is likely to be a vacuum of ready leaders in library organizations (Munde, 2000). Munde calls for organizational mentoring which aims to "achieve the organization's leadership goals and meet its existing and future personnel needs, as opposed to programs using mentoring to provide staff orientation and tenure/promotion assistance;" furthermore, "existing programs do nothing to prepare employees for career advancement to higher positions, interim or otherwise, or for redeployment to other functional positions" (2000, p. 173). It is with these thoughts in mind that the study for this chapter was developed.

FORMAL MENTORING PROGRAMS AT ARL INSTITUTIONS

Methodology

Member institutions of ARL represent the largest research libraries in North America. The 115 academic institutions therein com-prise the largest academic research libraries in North America, and are the population of this study.

Two different data sets have been analyzed for this study. The first is a set derived from Wittkopf's 1999 *Mentoring Programs in ARL Libraries: A SPEC Kit*. Though by no means a representative sample of the population, the formal mentoring program documents of 9 academic member institutions gathered as part of this study provide an opportunity to analyze the language of these primary documents.

The second set is derived from Internet searches completed in September 2013. Here, the chapter author visited the Website of all 115 academic ARL institutions to search and browse for any documentation relating to a mentoring program. Search terms used in the library Website site search included the following: "mentor," "mentoring program," "orientation," and "promotion." Any library resources, such as books, journals, or articles that appeared in the search results were not counted, as the focus was on internal library documentation. If no documentation regarding mentoring programs were identified, the library Website was browsed under any sections titled "About Us," "Staff Resources," or "Human Resources." When documentation regarding a formal mentoring program was found, the URL was saved and the documents were printed out. In all, 26 of the 115 academic ARL institutions were identified as having had mentoring content listed on its Website, through searching or browsing; documentation was saved, printed, and analyzed for 17 libraries, once Web pages with broken links, staff-only content, and little-to-no information were filtered out. The author decided

to not include the University of Minnesota's Institute for Early Career Librarians in this analysis, as this mentoring program is part of a separate institute, and not a mentoring program for University of Minnesota library employees only (University of Minnesota Libraries, 2011).

Once mentoring documentation was secured, a content analysis of each data set occurred to identify language related to advancement, leadership development, or managerial and administrative skills. Any variation of each of the preceding words identified in the documents was coded and further analyzed to discern any programmatic objective or component for mentoring for advancement. Other factors about the mentoring program, including goals, participants, and duration were noted for analysis as well.

The primary limitation of this study is that documentation for mentoring programs may not be publically available on the Website of a given ARL library. Information on mentoring programs may be secured on an internal intranet, or even disseminated via paper format or internal email. Given this limitation, the findings of this study should not be interpreted as comprehensive or definitive. Instead, they allow the opportunity to provide an analysis of general practices with regard to mentoring in ARL academic institutions.

A secondary limitation is that there may be other programs, be they formal or informal, related to mentoring or not, for the development of leadership or management skills that may lead to advancement opportunities within one of these libraries. For instance, the home institution of the author has a formal mentor-

ing program for pre-tenure library faculty that does not include any language on leadership, management, or advancement; however, all library faculty are able to apply for financial support to attend a leadership institute or workshop that is decided by a separate committee comprised of elected and appointed library faculty. While this is not a mentoring opportunity, per se, the institution is providing the opportunity elsewhere; so, any absence of language regarding leadership, management, or advancement should not imply that a library organization has no functional support for advancement.

RESULTS

ARL Mentoring Programs in 1999

In her 1999 study, Wittkopf discovered that 21 ARL institutions had a formal mentoring program. She included representative documentation for nine of these libraries (see Appendix). Eight of the nine libraries considered support for tenure and promotion as a goal of the mentoring program. Two of the nine libraries considered orientation to the library a goal in addition to tenure and promotion, while one considered orientation to be the only goal for the mentoring program. With these goals in mind, the duration of the mentoring programs varied; five libraries did not specify duration, two stated the duration would vary on the type of mentoring involved, one had a range of six months to two years, and one, the program focused on orientation, was limited to six months.

The mentoring programs for two of the libraries contained language that either clearly stated or implied that advancement, or managerial and leadership development were considered goals in the mentoring program. The University of Delaware, as described in the Background section above, is one of these two libraries. One of the three levels of mentoring available for librarians at the University of Delaware is devoted to experienced librarians who want to be mentored by administrators in the organization for career advancement (Wittkopf, 1999). The other library, at The State University of New York (SUNY) at Albany, does not have a separate track for advancement mentoring; instead the language is implied in a goals of the program to "…help them advance in their careers" (Wittkopf, 1999, p. 47). While it is not clearly stated that advancement itself is a goal, the language is inclusive.

ARL Mentoring Programs in 2013

Of the 17 libraries for which mentoring program documentation was publicly accessible (See Appendix), 10 of the libraries considered tenure and promotion, both retention activities, to be primary goals of the mentoring program, while four considered orientation, general career support, and professional development to be primary goals. The three remaining libraries had unique mentoring programs with more specific objectives. For instance, University of California, Riverside provides a Librarian & Information Specialist Mentor Program for members of the university community who are interested in pursuing librarianship as a profession; they are matched with current librarians at the University for mentoring and advice (Ivy, 2013). Dartmouth College and the University of Toronto both have peer mentoring programs, but with different objectives. Both are informal in structure; Dartmouth College Library's peer mentoring program is for librarians who want support for instruction, teaching, and presenting (Dartmouth College Library, 2012). At the University of Toronto Libraries, a list of peer mentors is provided with their various interests; any mentor can be contacted and tapped as a mentor for an area of expertise he or she has identified (University of Toronto Libraries, 2013). These are the only examples of peer mentoring among the sample.

Only two libraries had mentoring programs that included language regarding advancement or managerial and leadership development. The first was the University of Delaware, which has kept its three-level approach to mentoring, with a dedicated mentoring option for experienced librarians aiming to be mentored by senior administrators (The University of Delaware Library Assembly of Professional Staff, 2009). The second example is not as clearly stated. The Cornell University Library's mentoring program aims to foster professional growth, which includes support for employees to "think broadly about career paths, refine career goals, and assess skills" (Cornell University Library Staff Web, 2009). This broadly written language, like the example from SUNY Albany in 1999, is inclusive, and may offer an interested employee the opportunity to find a mentor in the organization to foster advancement or managerial and administrative aspirations.

SOLUTIONS AND RECOMMENDATIONS

While it is difficult to draw concrete conclusions from the two data sets used for analysis in the study, due to them not being representative samples of the population of academic ARL libraries, some observations about mentoring programs may be useful for recognizing trends and developments in this area. For instance, providing support for attaining tenure and promotion remain the primary objectives of a majority of the mentoring programs analyzed from both 1999 and 2013. This support continues to be offered primarily in one-on-one, mentor-to-protégé relationships, as only two libraries in the 2013 group offered peer mentoring programs. These two programs, at Dartmouth College and the University of Toronto, had more specific objectives, perhaps not unlike many of the examples of case studies from the literature on peer and group mentoring.

It is of particular interest to see that the University of Delaware has maintained its three-program approach to mentoring over the course of 20 years. This was the one, definitive example of mentoring for advancement in both sets of documents, and from the literature. It is encouraging to see language of inclusion, or more broadly defined objectives and goals for mentoring programs, as was seen in SUNY Albany in 1999 and Cornell University in 2013, where mentoring for advancement could potentially be pursued.

FUTURE RESEARCH DIRECTIONS

Even though the literature on mentoring in library and information science is already considerable, both in breadth and depth, there are a few areas for future research that can address some lingering questions about mentoring. For one, a formal update to Wittkopf's 1999 study of ARL mentoring programs would be particularly useful. If the research could closely adhere to the initial study, including a survey and a call for documentation, a more scientific comparison could be made between practices then and now.

Another potential area for further research would be to study peer mentoring in academic libraries. Though a number of case studies, many addressed in this chapter, have been published, there is a need for a more systematic review of their presence, and goals and objectives, in academic libraries.

More research is needed on the role of mentoring in succession planning. This chapter addressed one part of this research question, by examining current practices at ARL libraries, but more in-depth research is needed to understand this relationship in a more holistic manner. If libraries are not mentoring future leaders in their organizations, is the mentoring occurring elsewhere? What are the opportunities available for experienced librarians who aspire to advance in their organizations? These are just a sample of potential research questions that build and expand upon this current study.

CONCLUSION

Mentoring remains an effective strategy to orient, develop, support, and retain librarians. The literature is comprised of numerous studies which point to the usefulness of mentoring, in whatever form that may take within individual organizations. Traditional mentoring, peer mentoring, or a hybrid model of both, are all in current practice as demonstrated by the literature and this study. Objectives and goals must be clearly defined, both for the program overall and for the individuals in the mentoring relationship.

This study examined the current mentoring practices of some ARL libraries. While the main purpose seems to still be for retention, in the form of support for tenure and promotion, there are examples of libraries that are flexible in their approach, to more holistically address professional development or organizational culture. The role of mentoring for advancement within an organization still remains unclear. While one library examined has a formal program in place, and another had inclusive language that may allow for this type of mentoring, there does not appear to be a move toward leveraging mentoring for succession planning in individual institutions. This is concerning, as mentoring is generally designed to transit institutional knowledge from one person to another; incorporating it into succession planning would be a valuable way for an organization to not only grow its own leaders, but for these new leaders to have personal, first-hand knowledge of how their predecessors approached issues unique to their institution.

Additional research into the relationship between mentoring and succession planning is needed, especially as libraries face economic and demographic changes that may have an impact on recruitment and hiring in the future. Munde said it best: "literally, the next generation of library directors is currently working in the field…they should be able to expect mobility within the library's structure, additional training, and experience outside their hiring positions" (2000, pp. 174-175). Targeted and purposeful mentoring of these future leaders, by their future predecessors, can help save an institution a most precious resource: time.

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KEY TERMS AND DEFINITIONS

Advancement: The process by which current employees move up in an organizational hierarchy.

Mentoring: A relationship of support, socialization, and guidance.

Orientation: The process by which a new employee acculturates into an institution.

Peer Mentoring: Either a formal or informal relationship between equals in a pair or a group.

Promotion: Passing a peer review process to move up a rank in one's current position.

Retention: The process by which current employees remain in an organization.

Traditional Mentoring: A formal relationship between two persons, one experienced and one novice.

APPENDIX

List of Nine Institutions for which Mentoring Program Documentation was Included in Witt-kopf's (1999) *Mentoring Programs in ARL Libraries*

- Arizona State University
- Colorado State University
- University of Delaware
- Johns Hopkins University
- Indiana University
- Louisiana State University
- University of New Mexico
- State University of New York at Albany
- Ohio State University

List of 18 Institutions for which Mentoring Program Documentation was Publicly Available on their Websites (September 2013)

- Auburn University
- University of California, Berkeley
- University of California, Los Angeles
- University of California, Riverside
- University of California, San Diego
- Cornell University
- Dartmouth College
- University of Delaware
- University of Florida
- University of Georgia
- University of Illinois at Chicago
- Indiana University
- University of Minnesota
- Ohio State University
- Rutgers University
- University of Southern California
- Syracuse University
- University of Toronto

Chapter 4

The Code of Ethics and Workplace Behaviors:
Implications for Leadership and Cultivating Ethical Leaders for Tomorrow's Academic Libraries

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ABSTRACT

An investigative study was performed to better understand the practical influence of the American Library Association's Code of Ethics on the workplace behaviors and decisions of academic librarians. Participants in this investigative study were credentialed academic librarians working in North American college and university libraries, and this chapter focuses on academic librarians who hold leadership positions in management and administration. Study results show no significant results between COE familiarity and effects on ethical behaviors in the workplace; however, these results have implications for the debate surrounding enforcement of the COE and offer some insight into the links between the challenges of succession planning, leadership, and ethical behaviors in academic library environments.

INTRODUCTION

Even though the graying of the Library and Information Science (LIS) profession has been discussed at some length in library literature, succession planning is a topic that has not been discussed as much. Recent economic constraints have forced librarians who would have retired to continue working, and while an economic downturn is not great news, it does offer LIS professionals opportunities to catch up and focus on the issues surrounding succession planning, particularly when it comes to identifying, recruiting, and mentoring new or mid-career librarians for formal or informal and active leadership roles. However, the process of grooming new library leaders is daunting. Research shows that many new librarians have a negative view of library management, and their penchant for work-life balance overshadows their desire to pursue administrative positions (Gordon, 2005). The Canadian Library Association also noted a similar trend, finding that as academic librarians move forward in their careers, they are less likely to be interested in leadership positions, even though more experienced librarians also indicated that they feel prepared to lead (8Rs Research, 2006). Millet's survey of newly recruited librarians offers similar results, and she succinctly sums up the accompanying sentiment: "These librarians like their jobs, even if they aren't willing to run the place" (2005, p. 54).

Beyond the general lack of interest in taking on leadership roles, there are concerns about how libraries' organizational cultures stifle succession planning and leadership recruitment plans. Cunningham's search for an emotionally sound library environment gives readers another view into issues surrounding librarians' reluctance to move up by summarizing the characteristics of unhealthy LIS workplaces, among them:

- Complaints ignored or used against the staff member who complains.
- Imposition of one person's views on the rest of the library.
- Lack of clear direction from library administration.
- Lack of respect for the staff by the library administration.
- Passive library administration that seeks no conflict or resolution to unhealthy situations. (Cunningham, 2001)

These markers of emotionally unhealthy libraries are closely tied to behaviors that go against and undermine the American Library Association's Code of Ethics (ALA COE). Since its inception in 1938, the COE has generated much controversy by being the focus of several heated discussions, from issues of professionalism and status (Goode, 1961; Rothstein, 1968) to the enforceability of the COE consistently throughout different library environments and specializations (Murray, 1990; Finks, 1991; Hauptman, 2002; Sturgeon, 2007; ALA, 2009). However, these writings and even books on library ethics (Hauptman, 1988; Hauptman, 2002; Preer, 2008) offer little to no direct discussion on the link between ethics and leadership competencies,

and regardless of controversies (and many revisions), the COE remains the overarching document that "provides[s] a framework" for "ethical decision making" (ALA, 2008).

Competencies for library leadership have been established in leadership programs (Library of Congress, n.d.), and in 2009, the Library Leadership Administration and Management Association (LLAMA) assigned a group of Emerging Leader candidates the job of creating a list of core leadership competencies for the LIS profession (Ammon-Stephens et al., 2009). There has also been a call for an ethical code to be created just for library administrators (Baker, 1992). However these competencies and calls have been culled or enacted without much input from library administrators and managers reporting on how they behave on the job or how they see others behaving on the job. Hoffman's 2005 study of on-the-job behaviors is a great starting point to understanding how the COE impacts librarians, and Kendrick and Leaver's exploratory study (2011) gives even more insight into the impact of the COE on academic librarians' daily work. This chapter takes a closer look at the latter study by focusing on the administrator and management participant pool to determine this group's level of education and familiarity with the COE and how they use and perceive the authority of the COE via their own workplace behaviors and what behaviors they have witnessed. The data herein are also exploratory, thus the chapter will conclude with implications for improving leadership competencies and growing leaders within academic library environments.

THE AMERICAN LIBRARY ASSOCIATION CODE OF ETHICS: A CONTROVERSIAL HISTORY

The COE: A Question of Professionalism

A concise look at the history of the COE offers a useful context for understanding to what degree academic library leaders support the COE in their professional ideology and their daily practice. Most of the tumultuous history of the COE has been couched within the issue of the professionalism of librarianship, and these concerns are directly related to leadership and management, especially when thinking about preferred leadership characteristics like integrity, principled decision-making, and fair-mindedness.

The first statement in support of a code of ethics for librarians was directly linked to the question of professionalism when, in 1903, Mary Wright Plummer addressed attendees at the Illinois Library Association's eighth meeting:

If we compare the professions with the trades we at once realize there is a difference in their personnel. Doctors, lawyers, and ministers, college professors, officers of the army and navy, have a certain code which presupposes that they are gentlemen and wish to remain so. A breach of this etiquette strikes at the foundations of their order. Librarians and educators have their code still to make… If we were making a code for librarianship, what would it have to help that calling to rank among the professions? (1903, p. 212)

Her comments continued with an outline of what an ethical code could include, among them dignity, humility, *esprit de corps*, and curiously, to "believe in the work" of librarianship (p. 212). After Plummer's address, nothing was done to formalize her comments until 1909 when Charles Knowles Bolton published "The Librarian's Canon of Ethics." Within his introductory remarks, Bolton clearly states that the catalyst for writing the canon had come from reading the canons of other professions:

A recent number of the Green Bag, a magazine for lawyers, contained the 32 canons of ethics adopted by the American Bar Association… American architects have certain printed rules of conduct and the medical profession, certain traditions which add to the literature of professional ethics. Some similar canons would, I think, stimulate among librarians an esprit de corps, and here I venture to suggest the librarian's canon of ethics, drawing my inspiration from those mentioned above… (1909, p. 203)

Bolton's article outlined seventeen duties in four areas of accountability to library trustees, library staff, other librarians, and library materials – mainly books (Bolton, 1909).

Even with Bolton's expanded values statement, ALA Council discussions in 1913 and 1914, and even a presentation of a "Suggested Code of Ethics" in 1930 (Rathbone), it would not be until 1938 – more than sixty years after the founding of ALA – that the profession formally adopted a COE. The first COE was lengthy: it contained a preamble and five sections outlining librarians' responsibilities to governing authorities, constituencies, the library, the field, and society. Since then, the shortened COE has gone through five amendments, the most recent occurring in 2008.

EVOLUTION OF THE COE

Considering how long it took ALA to adopt a COE, the executive board and membership has more than made up for it by revisiting it and making changes several times in the last forty years. The development of the COE has been tinged with controversy and sometimes outright denunciation, and always with the question of professionalism attached in some way to various arguments. Specifically, criticisms against the COE include the idea that librarians don't value ethics because they are unconfident in their outward image in society, as well as the ongoing unease surrounding how to enforce the code on practitioners who work in different library environments. Furthermore, the issue of enforceability is exacerbated since practicing librarians are not required to join ALA, the profession's governing body.

Essentiality and Effectiveness

LIS practitioners were slow to question the need for and critique the effectiveness of the COE, with the first hint of discontent over the document arising in the 1960s – thirty years after the first COE was approved. Goode's comprehensive article arguing the validity of librarianship as a profession ends with a clear summary that, at that time, librarianship was

far from being a member of the professions. About the COE and librarians' preoccupation with image and status, Goode argues:

A code reflects the peculiar genius of the profession that writes it. How lacking in this code is any sense of drama, of moral urgency! How absent is a sturdy awareness that the profession has a task, a destiny, a set of issues about which it is concerned! If the librarian feels this way about himself, how can the public not feel similarly? (1961, p. 316)

Continuing into the late 1960s and early 1970s, debates and discussions about the COE became more frequent, and issues about professionalism and self-image issues remained married to these exchanges. In an essay published in *Library Journal,* Rothstein strongly rejects Bolton's justification for the canons and the 1938 COE:

… [T]he 1938 Code …[has] been prompted not by relevance to our needs, but by no better reasons than imitation and preening. Librarians have been apprehensive and self-conscious about their status. The doctors and other well-recognized professional groups have codes of ethics, and so librarians probably assumed that the promulgation of a similar code was indispensable to similar recognition. (1968, p. 156)

A year earlier, Bogie offered a report from his staff members at the Dallas Public Library, who discussed proposed COE revisions. Within the context of the effectiveness

of the COE, a panelist in Bogie's program, Norman Graham, reminded the group of the markers of a profession and noted:

In professions where codes of ethics seem to have at least some small effect on professional practices, certain conditions exist…I would suggest that in librarianship none of these conditions exist… (1967, p. 2127)

Rothstein expanded the notion of professional responsibility to the individual librarian by frankly pointing out the failures of professional accountability and COE effectiveness in the daily work of librarianship:

In any case, librarians themselves have made the most telling criticism of the present Code by simply ignoring it. My guess is that not a librarian in a hundred has so much as looked at the Code, let alone pay it any heed, since leaving library school. (1968, p. 156)

Beyond pointed criticisms about the COE that are based in sociological theory or professional status, the document has also undergone attacks about the content therein. Historically, iterations of the COE have retained "broad statements" in order that they can be applicable to all library environments. In practice, however, such generalizations in the COE have been troublesome with regard to the image of librarianship, in effect rendering null the promotion of professionalism in and highlighting the "cognitive bafflement" (Goode, 1961, p. 312) of those who practice LIS:

Several of the "rules" do no more than recommend run-of-the-mill administrative and personnel policies, which have no proper place in the code. (Goode, 1961, p. 316)

None of the elements of the ALA's code of ethics applies directly to the daily practice of librarianship. Using a Wittgenstinian linguistic approach, we can say that it is exceptionally unlikely that a reference librarian would say to a clerk:

we are going to strive for excellence in the profession by maintaining and enhancing our own knowledge and skill...

A more likely comment would be: "we are going to answer phones, check out books, and answer questions." In essence, the words of the code of ethics do not match the socially and occupationally defined language game of librarians. The words remain symbols and lack significance. The code of ethics fails to have significance. (Goodall 2003, p. 4)

The COE's generalized statements also offer another problem, particularly in the practice of modern librarianship, which in recent years has changed drastically due to technological advances, the accompanying legal issues, changing political pressures, and economic constraints. In 1988, Hauptman succinctly affirmed that a code with explicit principles would serve librarians well in the contemporary practice of LIS: "Today, with the extensive development of information services and many new ethical problems, a well-defined code is a necessity." (p. 6) For library managers and administrators, solid

decision-making skills are a crucial competency that requires concrete guidance, and an explicitly written code could be even more useful in the kaleidoscopic arena that is 21st librarianship.

Enforcement

A persistent issue about the fallibility of the COE is how best to enforce the principles, not only on a personal level or even within different work environments, but by the very organization that creates policy and standards for the LIS profession – ALA. At the same time the COE was under attack for issues of usefulness due to lack of clarity about professional ethics, the professionalism and authority of ALA to enforce the COE was brought into question:

[T]here is definitely no power residing in the national professional association, the American Library Association. As it is often pointed out, it is questionable if that ALA is a professional organization at all. (Bogie, p. 2127)

This idea remains a viable issue in modern librarianship as well. In 2006, Buschman candidly stated that amending the COE is futile since "ALA lacks the will and imagination to enforce it."

Regardless of ALA's willingness to enforce the COE, it must be noted that partial onus also rests with individual librarians to champion the principles of the profession, whether or not they are members of ALA. However, the COE's universal statements may make it difficult for librarians to apply them to their specific needs. Rothstein summarizes:

In a profession as heterogeneous as librarianship, it thus becomes all too easy for librarians of a particular kind to dismiss the codes as having too little direct relevance to their own situation. (1989, p. 307)

Conversely, Stichler takes the issue of personal accountability away from the librarian, but only to the extent that the COE's broad statements are so inflexible and non-specific that librarians cannot possibly support them successfully (1992). Part and parcel of good library leadership is backing the causes, mission, and values of the field. The present study explores to what extent library managers and administrators believe in the ability of the COE to promote those ideals, as well as how those beliefs are revealed through on-the-job behaviors. Moreover, the study examines links between ethical behaviors and ALA membership (i.e. "does ALA membership affect behavior?")

LIS Ethics Education and Professional Development

Ethics Education in LIS

In Schools of Library and Information Science (SLIS), focused ethics courses generally are not offered. Rather, the study of ethics is embedded in courses that primarily deal with reference service or management. While ALA contends that a core competency of credentialed librarians – those who graduate from an ALA-accredited SLIS – is that they "should be able to employ the ethics…of the

library and information science profession," (2009, p. 1) the broad statements within the ALA's accreditation standards (2008) do not provide much direct support or encouragement for ethics coursework in the core or elective curricula. This disconnect between ethical expectations in practice and omissions in SLIS curricula is one that becomes even wider considering that ALA also expects credentialed librarians to demonstrate the competency for applying "the concepts behind,…and methods for principled, transformational leadership." (2009, p. 5)

SLIS Curricula

As early as 1966, the issues surrounding LIS ethics education and knowledge gaps in practice were evident:

It has been asked if library schools still talk about professional ethics since some experienced librarians say many of the newer graduates evince little knowledge of what is expected of them, even to the commonly accepted rules of courtesy. (Anderson, p. 5335)

In 1989, Blake recognized the limits of integrating ethics studies into other courses and the problems inherent in not making ethics courses a requirement:

…In three out of four cases discussed, intellectual freedom and censorship were the topics that received the most emphasis. Recent history, however, has forced the concept of professional ethics to be more comprehen-

sive…The second problem …is that they are elective courses. It may well be that those who enrolled in these classes were individuals with the least need to be exposed to these areas. (p. 30)

Blake later calls for a "more systematic approach" for ethics education to be created and executed in SLIS programs, and again notes that such actions would help librarianship shrug off "its reputation as a semi-profession"(1989, p. 30).

Rogers's study focusing on SLIS ethics education sheds some light on the slow move towards ethics-focused courses. Results of the study show that many deans of ALA-accredited SLIS favored the integration of ethics throughout several courses over offering an ethics-focused course. Incidentally, in Rogers' opening comments, she states: "…[T]he intent of this study should in no way be construed to imply that library schools are to be blamed for not preparing the profession to deal with ethical issues," (1994, p. 52) which begs the question, if not SLIS, who is responsible for preparing librarians to be principled colleagues and leaders in tomorrow's libraries?

The SLIS at Kent State University offers an answer to this question by offering a course titled "60666 Ethical Concerns of Library and Information Professionals" (Kent State University School of Library and Information Science, n.d.), which has been offered at least since 1994, when the SLIS dean noted that the school may have been the only one offering an ethics course (Rogers, 1994). Additionally, the SLIS at the University of Pittsburgh has been offering ethics forums, lectures and courses

for their Master's and Doctoral students since 1989. Carbo and Almagno discussed the evolution of the ethics course (INFSCI 2210) and its effects on students after they graduated and entered practice: "graduates report that the information ethics courses have had a much greater effect on their personal and professional lives than other courses" (2001, p. 514). Upon further reflection, Carbo reminded readers of the particular interest that library administrators should take in ethics education, in effect linking leadership, recruitment, and ethics:

Administrators have long had an interest in ethical reflection to help them…determine moral actions in their work and lives. Educating individuals for careers in management and leadership requires close partnerships between practitioners and those whose primary focus is formal education to shape educational programs for information ethics. (2008, p. 6)

Professional Development

As reflected in the literature, only a small number of librarians have received direct, intentional learning opportunities for ethical study and reflection. This leaves a larger number of LIS practitioners who matriculated through SLIS courses that only tangentially considered ethical concerns and issues, more than likely with regard to how broad issues like patron privacy and intellectual freedom play into day-to-day library management and administration. Moreover, no matter the level of formal education, the constantly changing nature of LIS (and a characteristic of professionalism) requires that librarians be aware

of and be able to respond to current ethical issues that go outside of these conventional applications. Hauptman strongly recommends that even after leaving SLIS, librarians should "continue to consider information work in an ethical context. In-house discussions, workshops, conferences, and an ongoing familiarity with the scholarly literature can help to maintain currency" (1992, p. 15). Traditionally, on-the-job training in ethics can be best described as passive. *Library Journal*, published by Media Source, Inc., offers a column titled "How do you manage?" which allows readers a chance to review a case study and two responses and (hopefully) reflect on how they would resolve the situation. Active professional development opportunities for ethics education are only recently becoming more popular – OCLC hosted an online conference called "The ethics of innovation" in late 2010, which spawned a simultaneous discussion on Twitter under the #ethicsiq hashtag. Perhaps the most comprehensive, yet focused training available to librarians is Wagner's Everyday Ethics (2010), which is hosted by WebJunction Kansas. Couched within her four library ethical standards (transparency, equal treatment, privacy, and access of information for all), are course materials and discussions that offer an introduction to professional library ethics and advanced applications to issues like fiscal responsibility, policy-making, service and access, and collegiality. Additionally, WebJunction also offers other ethics courses focusing on case studies, standards for leadership, and ethical decision making.

Since there is no standardized skill set for librarianship (and leadership competencies have only recently been created), it may be that many other educational prospects are available. Mason and Wetherbee's work analyzing leadership training programs for librarians is helpful in determining the emphases of dozens of national and state library leadership programs; however only one of the listed programs state "ethics" as a training focus. Rather, the study of ethics may fall under general topics like "improving service," "encouraging diversity," "personal assessment/ self-awareness," and "conflict resolution." It should also be noted that academic library leaders who work in special libraries (law, medical, business), may have even more access to ethical training via their professional library associations (e.g., American Association of Law Libraries) since those disciplines are more beholden and sensitive to ethical practices and behaviors.

Discussions about succession planning note the need for current library management and human resources personnel to assess the skills future leaders will need in order to step into leadership positions (Singer, Goodrich, & Goldberg, 2004; Singer & Griffith, 2010). These skills generally include both tangible (budgeting, planning) and intangible (networking, political nimbleness, etc.); however, decision-making seems to be an implied skill that is not necessarily linked to ethics; and the ever-broadening soft skill of "leadership" is usually defined by the current library leaders; thus, ethics and ethical behavior may not be a highlighted or tangential concern during planning. The study in this article observes Hauptman's call to integrate "serious and

replete ethical training into the …curricula from which information workers develop," (1992, p.15) and seeks to encourage an expanded discussion about the links between LIS recruitment, retention, and advancement, leadership, and applications of the COE in daily administrative work in libraries.

Ethical Leadership and Decision Making: A (Short) Review

Perhaps the most telling sign of the lack of ethics training in librarianship and the relation it has to successful leadership in libraries is the paucity of research discussing these relationships. Moreover, research that has addressed these links mirrors the beginnings of the COE: it takes its inspiration from outside of the field. Winston's work on ethical leadership and decision-making was based in part on business education models because his research focused on "an area about which there has been far less published research related to ethical preparation" (2007, p. 231). Winston's analysis summarizes that motivation for unethical behavior, includes "the lack of preparation for ethical decision making," (p. 233) and he also points out that managers can be overconfident in assessing their behavior: "the research related to ethical decision making also indicates that …managers, in particular – overestimate their ability to make ethical decisions" (p. 234).

Such overestimations highlight what Armor defines as the *illusion of objectivity*, the idea that "[people] tend to see themselves as being more objective, more even-handed, more insightful, and less biased than they really are" (1998, p. xi). Baker's article, which

discusses her support for a separate code of ethics for library administrators, places the *illusion of objectivity* squarely in LIS discipline, especially since library administrators generally oversee workers – including librarians – who may not have enough practical knowledge to guide or caution them in ethical decision making:

What all this means is that library administrators could, from their positions of power and with few negative consequences, advance their personal interests or at least fail to advance the best interests of the library. While most library administrators are familiar with basic ethical issues related to the field of librarianship in general, there is no evidence they are aware of ethical standards that relate to their roles as managers in particular. (1992, p.4)

Barsh and Lisewski's study delving into how library managers perceive their role in creating ethical environments also gives in-depth insight into the practical importance of the need for clear codes, systemic ethics education, and continuous exposure to professional development opportunities. A summary of their research results show that managers believe that the COE's principle of collegiality was met the least at their institutions, and there was a "lack of public recognition for ethical actions" (p. 61). The article also ends with the recognition that there is a shortage of literature when it comes to helping managers learn how to create ethical library environments. The following study probes into the actions library leaders observe and how they manage others' and their own behaviors when faced with ethical dilemmas.

METHOD: PROCEDURE AND PARTICIPANTS

Procedure

A 35-item survey was created using Survey-Monkey, an online survey and questionnaire tool. The questions were divided into seven parts: participant characteristics, ethics education and training, ALA Code of Ethics, ethics at work, policies and practices, and wrap-up/comments.

The survey was tested for validity and to determine how long it took participants to complete the tool. After successful testing, the survey was assigned a permanent URL and launched for four weeks. After the survey was closed, responses were checked for accuracy and the data were input into PASW, a statistical software program, for testing.

Invitations to participate in the survey were sent to six listservs: (NMRT-L, COLLIB-L, ACRL-RIG, ILI-L, and GLA-L), and social networking sites like Facebook were also used to invite colleagues to the survey. While the study was active, two additional participation invitations were sent to the listservs and in Facebook. After reviewing the larger dataset for accuracy, responses that met the requirements for the data subset were culled. Forty-one responses were found to be viable for this study, and those data were input into PASW.

National Center for Education Statistics' *Academic libraries*: *2008 First Look* report states there are 27,030 academic librarians working full-time in the United States (U.S. Department of Education, 2009). Thus, this study's findings do not reveal a holistic picture of the ethical behaviors (or the motivations behind such behaviors) of academic library leaders in any particular specialty or educational institution.

Participants

Participants were credentialed librarians working as administrators (61%) or department heads/managers (39%) in various academic library environments. The largest group of participants was between 55- 64 years old (46%), with the second largest group representing over a quarter of the group (29%) Additionally, about 15% of this group was between 25 – 35 years old, and the age brackets of 36 – 44 and 65 and over were equally represented at 5%. As expected, the participant group was predominantly female (73%). A majority of the participants have had very long careers: 56% have worked in libraries for twenty or more years, and 20% have been working as credentialed librarians between 11 and 19 years. Conversely, 7% have only just started their careers, working between zero and three years, and 17% are in the middle of their careers, working between four and ten years. More a third (34%) of participants worked in a four year private academic library, while just under a quarter worked in a four year public (22%) college or university academic library. About 17% worked in a research university library, and another 15% of participants worked in two year public and private college libraries. When asked what size cities their libraries were located in, metropolises, large cities, and small cities were equally represented at around 20%, while 17% stated that their library is located

in the suburbs. Exurbs and rural areas were also equally represented at 12%. Eighty-eight percent of participants indicated that they are ALA members.

RESULTS

Agreement with Ideals and Purpose of the COE

Prior to exploring relationships between the impact of the COE, ethics education and workplace behaviors, it is useful to examine how the ethical philosophies of library leaders manifest in their daily work. Participants were asked about the general principles, purpose, and role of the COE, and they did not show a strong sense of confidence in the COE's capacity to fully uphold LIS values. Figure 1 shows 29% agree that the COE is a useful tool to consult for guidance in conflict and behavior, while 51% somewhat agreed with the statement. Also, seven percent completely agreed that the COE adequately covers the general day-to-day concerns of the modern librarian, but 68% somewhat agreed with the same statement. A little more than a quarter (27%) completely agreed that the COE clearly upholds the professionalism of librarianship, while just over half (51%) somewhat agreed with the same statement. Additionally, only 5% completely agreed with the statement that the COE is more concerned with protecting library users, while 32% somewhat agreed with the same statement. Interestingly enough, however, more equitable numbers between "completely agree" (34%) and "somewhat agree" (39%) were indicated when partici-

pants were asked to respond to the idea that the COE creates a sense of duty and purpose.
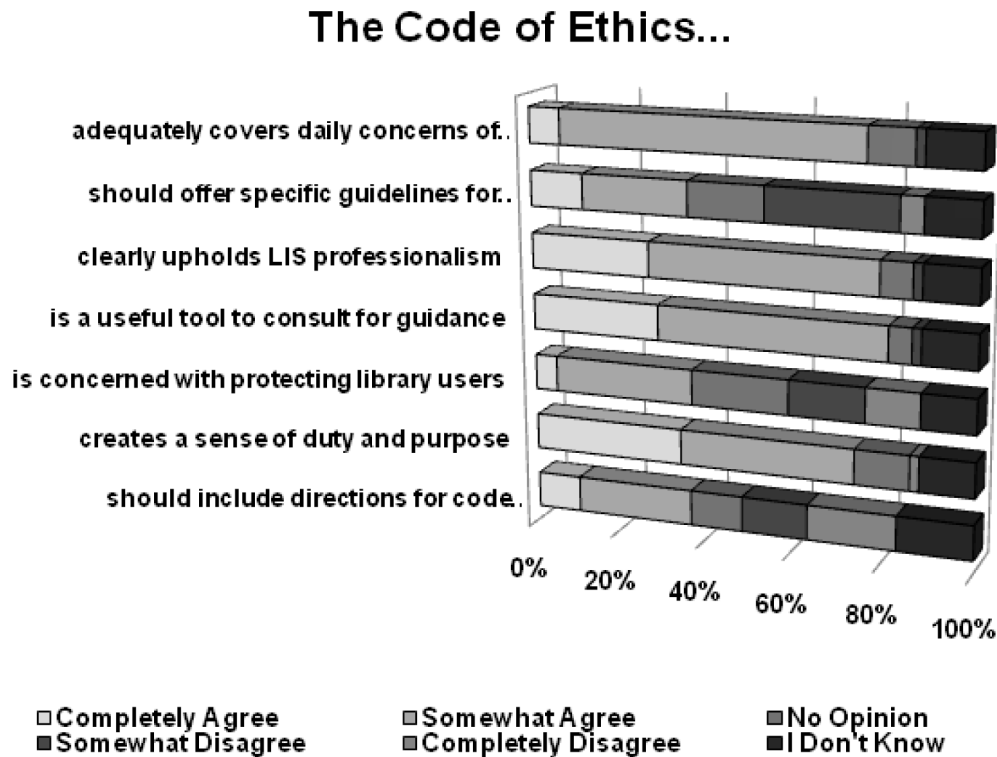
While there is a definitive lack of strong agreement with the usage and principles of the COE, academic library leaders' feelings regarding the effectiveness and enforceability of the document seem even more unclear. When it comes to statements about COE enforcement, responses are mixed, and thus, don't offer a clear consensus. In the same Likert question, only 12% completely agreed that the COE should over more specific guidelines for professional conduct, while 24% somewhat agreed and 29% somewhat disagreed with the statement. Also, only 10% completely agreed that the COE would be more effective if it included instructions for code violations, while 27% somewhat agreed, 15% somewhat disagreed, and 20% completely disagreed with the same statement. Not surprisingly, these mixed responses effectively mirror the ongoing debate about COE effectiveness, as well as highlight the ongoing lack of consensus on the best way to enforce the principles of the COE.

ETHICS EDUCATION AND COE FAMILIARITY

Ethics Education

Participants were asked to report their formal and practical experiences involving ethics education. Formal opportunities included courses that focused on ethics and courses where the study of ethics was included, but not the main topic of the course. Conversely, practical experiences included instances of

Figure 1. Participants' levels of agreement with COE principles. A large percentage of participants reported reasonable levels of agreement with most of the principles. Ambiguity about the need to enforce the COE is discernible in the more equivalent responses to the last category.

The Code of Ethics...

□ Completely Agree	■ Somewhat Agree	■ No Opinion
■ Somewhat Disagree	□ Completely Disagree	■ I Don't Know

professional development while on the job. Almost all of library leaders (93%) have not taken a focused ethics course; however, 73% have taken courses wherein the study of ethics was embedded around other main topics. Essentially, about 12% of the sample has had no formal or informal training on ethics in librarianship. Moreover, over three quarters (78%) of participants indicated that their institution or university system does not require ethics training for employees.

COE Familiarity

Understanding that a large majority of library leaders have not been directly taught library ethics, we now turn to reporting how familiar this group is with the COE. Over half of the respondent group (56%) perceive themselves as generally familiar with the COE in that they know it exists and have intermittently used it as a guideline. Over a quarter of respondents (27%) knows about the COE but has never used it, and only 15% consider themselves very familiar with the COE, using it as a guideline in most of their work and interactions. Two

percent indicated they are not familiar with the COE. Figure 2 reveals the relationship between ethics education and COE familiarity levels between participants who've received ethics training and those who received no ethics training. A two tailed independent samples t-test – corroborated by a Mann-Whitney U test (Table 1) – shows no significant effect of training (focused or embedded library school ethics training) on familiarity with the COE (t(39) = 0.35, *p* =.73).

Ethical Dilemmas

In this investigative study, we used Hauptman's general definition of an ethical dilemma: "We often know what we should do, but choose not to do it, or we do not know what we should do and may consult [others]."

(2002, p. 8) Recognizing that there are many different ethical theories and decision making processes, this exploratory study also defined "unethical" as "non-compliance with any of the principles of the ALA COE."

Figure 3 illustrates that in the last six months of employment, just over two-thirds (66%) of library managers and administrators have dealt with an ethical dilemma between one and three times. Another 17% have faced ethical dilemmas between four and six times in the same amount of time, while 5% have encountered dilemmas between seven and ten times. Additionally, three percent have dealt with ethical dilemmas over ten times within the last 180 days of their tenure. On the other hand, ten percent have not had any dilemmas within the last six months. Figure 4 shows

Figure 2. Level of COE familiarity reported by participants, broken down by those who received LIS ethics training and those who did not receive LIS ethics training. A higher percentage of LIS-trained participants reported some level of COE familiarity as compared to those who were not trained.
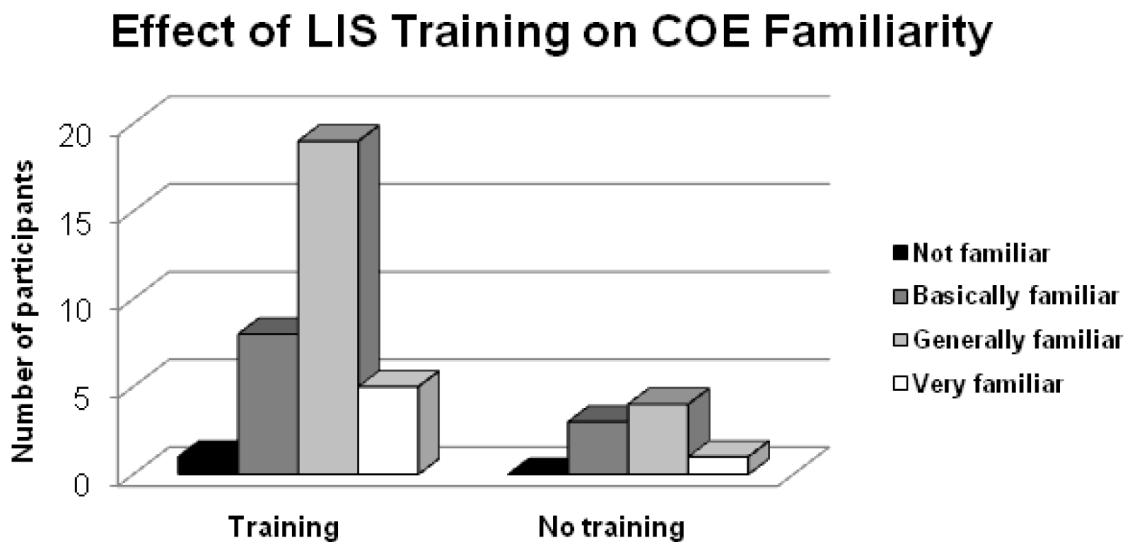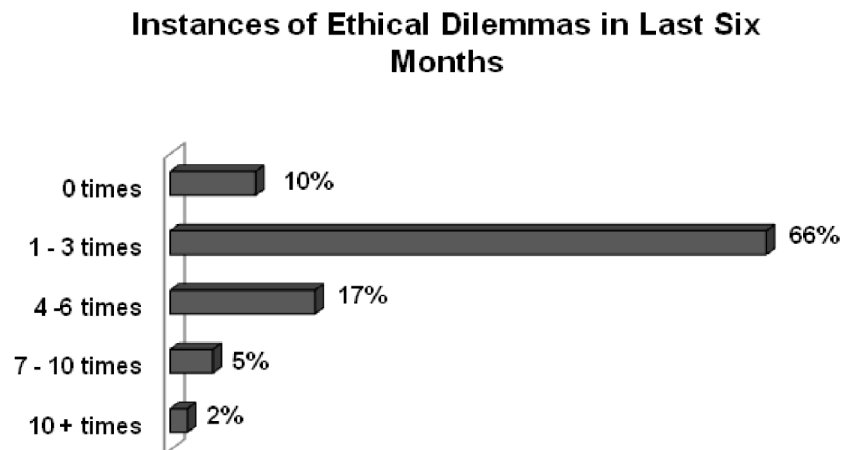
Table 1. Comparison of independent samples t-test and Mann-Whitney U tests for all analyses performed

| Effect of LIS Training on COE Familiarity	Independent Samples T-test	$t(39) = 0.35$, $p = .73$
	Mann-Whitney U Test	$U = -0.46$, $p = .65$
	Sample Size	N=41
Effect of ALA Membership on COE Familiarity	Independent Samples T-test	$t(39) = 1.48$, $p = .15$
	Mann-Whitney U Test	$U = -1.60$, $p = .11$
	Sample Size	N=41
Effect of ALA Membership on Type of Response to Noncompliant Colleague	Independent Samples T-test	$t(36) = 0.40$, $p = .70$
	Mann-Whitney U Test	$U = -0.41$, $p = .77$
	Sample Size	N=38
Effect COE Familiarity on Responses to Observed Unethical Behavior	Independent Samples T-test	$(t(36) = 1.23$, $p = .28$
	Mann-Whitney U Test	$U = -1.39$, $p = .21$
	Sample Size	N=38
Effect COE Familiarity on Responses to Unethical Self Behavior	Independent Samples T-test	$t(11) = -0.05.$, $p = .96$
	Mann-Whitney U Test	$U = 0.23$, $p = .82$
	Sample Size	N=13

Figure 3. Number of times participants dealt with ethical dilemmas in the six months prior to the survey. Most participants experienced between one and three dilemmas.

Instances of Ethical Dilemmas in Last Six Months

0 times — 10%
1 - 3 times — 66%
4 -6 times — 17%
7 - 10 times — 5%
10 + times — 2%

the ethical issues that most of the dilemmas covered. Patron privacy and/or confidentiality was the most prevalent issue (27%), followed by equitable customer service (17%), collegiality (15%). Lesser, but still present ethical dilemmas covered intellectual property (10%), conflict between personal beliefs and institutional mission (7%), intellectual freedom and acts of self-censorship (2%) and professional development/mentoring/library advocacy (2%).

Figure 4. Participant percentages of reported ethical dilemmas. Most participants dealt with dilemmas regarding patron privacy and patron confidentiality.

Most Ethical Dilemmas Covered...

Patron privacy/confidentiality	27%
Equitable customer service/access	17%
Collegiality	15%
Intellectual property	10%
Conflict between personal beliefs and institutional mission	7%
Intellectual freedom/censorship	2%
Professional development / mentoring / library advocacy	2%
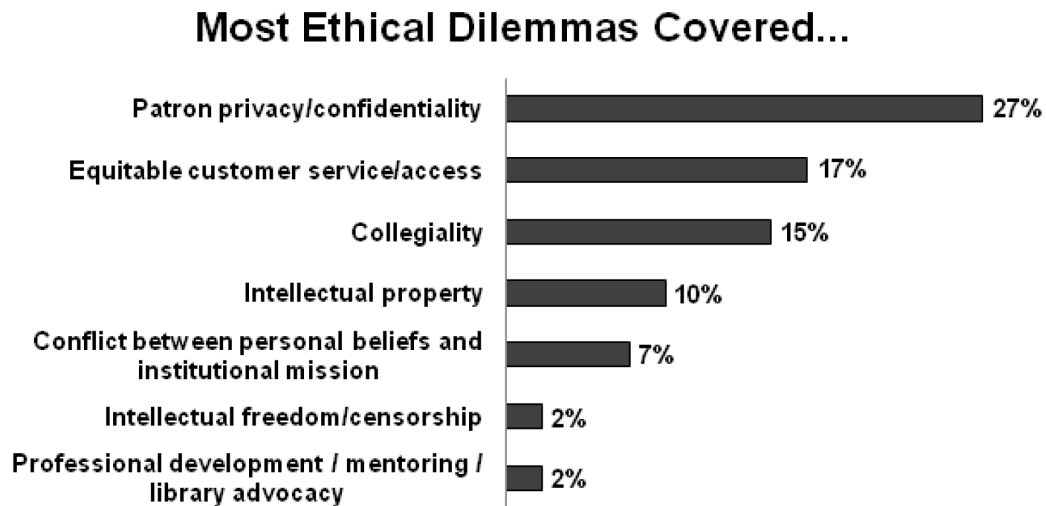
WORKPLACE BEHAVIORS

Observing Others

Over three quarters (78%) of the participant group indicated that they have seen a colleague act unethically, and seven percent indicated they are not sure if they have been a witness to other librarians acting unethically, and another fifteen percent stated they have not seen a colleague act unethically. Participants were then asked to indicate all of the COE principles that the observed unethical acts violated. Figure 5 shows that equitable customer service/access, patron privacy and/or confidentiality and collegiality top the list of observed violations at 39% each. This was followed by observed conflict between personal beliefs and institutional mission (25%), intellectual property (19%), and intellectual freedom and self-censorship (19%). Moreover,

participants also disclosed observed instances of violations surrounding professional development/mentoring/library advocacy (14%).

Self-Reporting

Not surprisingly, the rate of unethical observations went down drastically when participants were asked to self-report on their behavior. Only 29% of participants admitted to noncompliance with the COE. It is interesting to note that while the entire sample group answered if they had been unethical or not, not everyone was willing to admit what violations they had engaged in. Almost a third of the sample did not respond when asked to indicate all of the principles they violated. Figure 6 shows that 17% violated patron privacy and/or confidentiality, while 14% indicated a violation of collegiality. Ten percent indicated equitable customer service/

Figure 5. Percentage of participants reporting observed COE violations, sorted by COE principles. The most frequently observed COE violations were equitable customer service or equitable access, patron privacy or patron confidentiality, and collegiality.
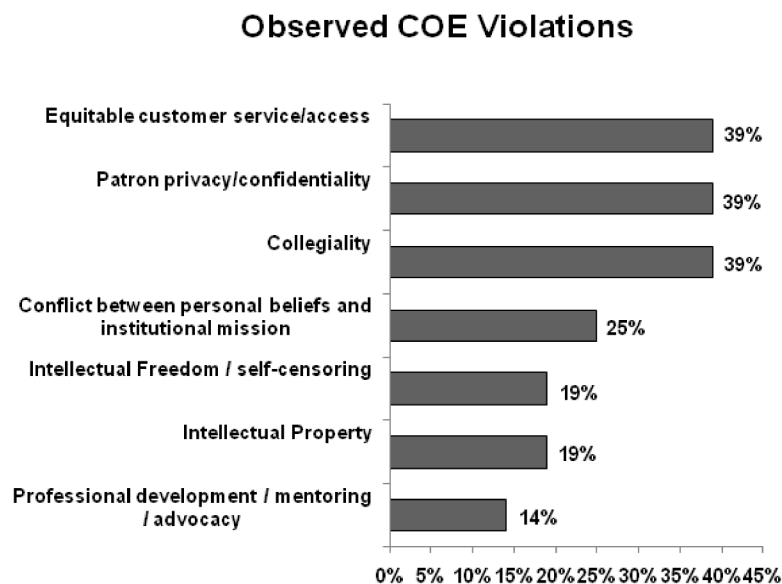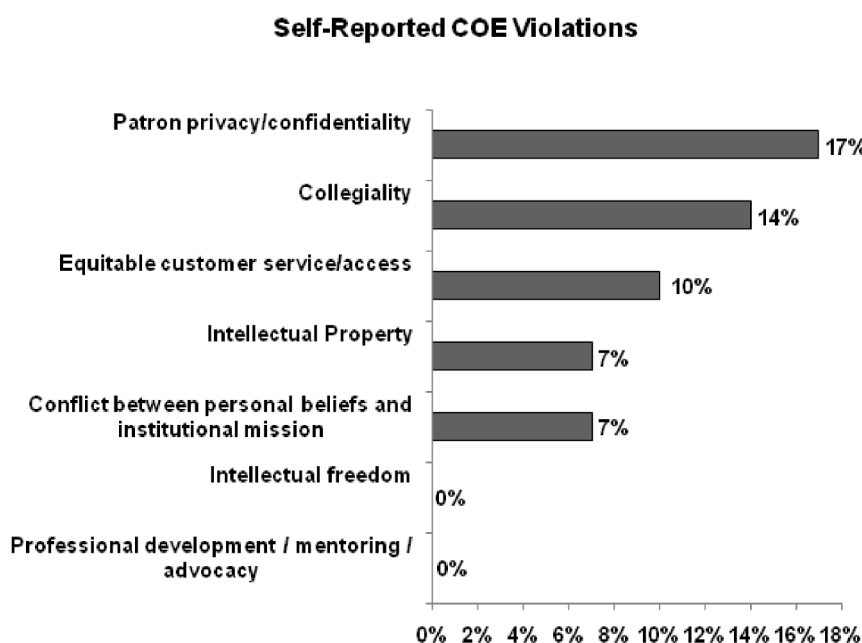
Observed COE Violations

Category	Percentage
Equitable customer service/access	39%
Patron privacy/confidentiality	39%
Collegiality	39%
Conflict between personal beliefs and institutional mission	25%
Intellectual Freedom / self-censoring	19%
Intellectual Property	19%
Professional development / mentoring / advocacy	14%

Figure 6. Percentage of participants self-reporting COE violations, sorted by COE principles. The most frequently reported violations dealt with patron privacy and patron confidentiality.

Self-Reported COE Violations

Category	Percentage
Patron privacy/confidentiality	17%
Collegiality	14%
Equitable customer service/access	10%
Intellectual Property	7%
Conflict between personal beliefs and institutional mission	7%
Intellectual freedom	0%
Professional development / mentoring / advocacy	0%

access violations, 7% revealed intellectual property breaches, and another 7% admitted to experiencing conflicts between personal beliefs and institutional mission.

RESPONSES TO UNETHICAL BEHAVIOR

Responses to Observed Behavior

Participants were asked to report all the behaviors they engaged in after they observed their colleagues acting unethically. Exactly half (50%) indicated they brought up the offending action to the colleague with the intention of correcting the action, and 21%

told a department head with the intention of correcting the action. Eighteen percent did nothing, and 13% told another colleague. Twenty-four percent engaged in a myriad of other behaviors, from changing procedures to starting a disciplinary process (Figure 7). When it comes to those who do nothing, the comments for this question give insight into possible reasons for ethical apathy (and negative perceptions of library leadership):

One occasion resulted in a complaint about harassment following a verbally abusive encounter directed at me. …no action was taken. – Participant

Figure 7. Participants' responses to observing a colleague violate a COE principle. Fifty percent brought up the violation to the colleague. Thirteen percent told another colleague about the observed violations.

Responses to Observed COE Violations
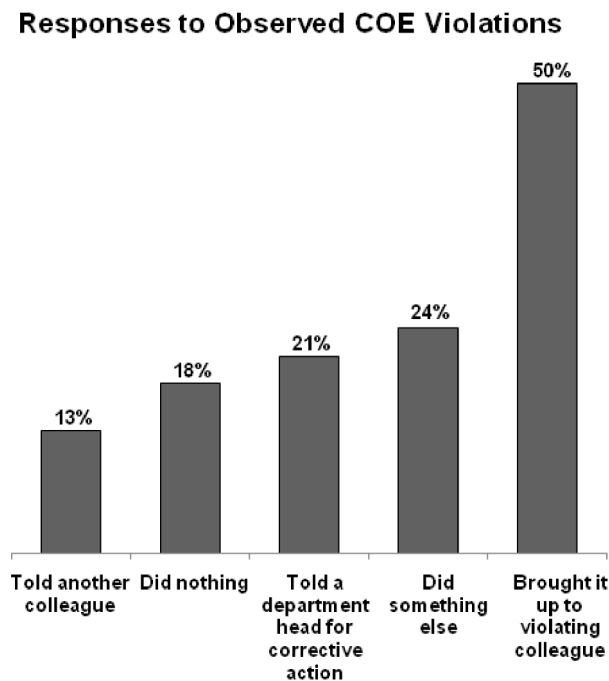
By the same token, managers are willing to go outside of the library to ensure corrective action against unethical practices and behaviors is taken:

[T]ook sexual harassment to university legal counsel / took concerns re[:] overt racism in hiring to state legislator. – Participant

Responses to Self-Reported Behavior

Participants were also asked to report what happened or what they did after they engaged in unethical behaviors. Thirty-one percent corrected themselves, and 14% indicated that a colleague talked to them about their behav-

ior and corrected their actions. Another 7% revealed that a supervisor talked with them and corrected their action, while another 14% indicated that nothing happened (Figure 8).

With a twenty percent difference between those who corrected their colleagues' unethical behaviors and those who corrected themselves, the inconsistencies allowed by the COE's "broad statements," especially with regard to expectations in accountability, are brought into sharp focus. Such inconsistencies also could mean that a decision to confront unethical behavior could be based on personal feelings rather than the general guidelines offered by the COE:

Figure 8. Participants' responses to self-reported COE violations. Thirty-one percent of participants corrected.
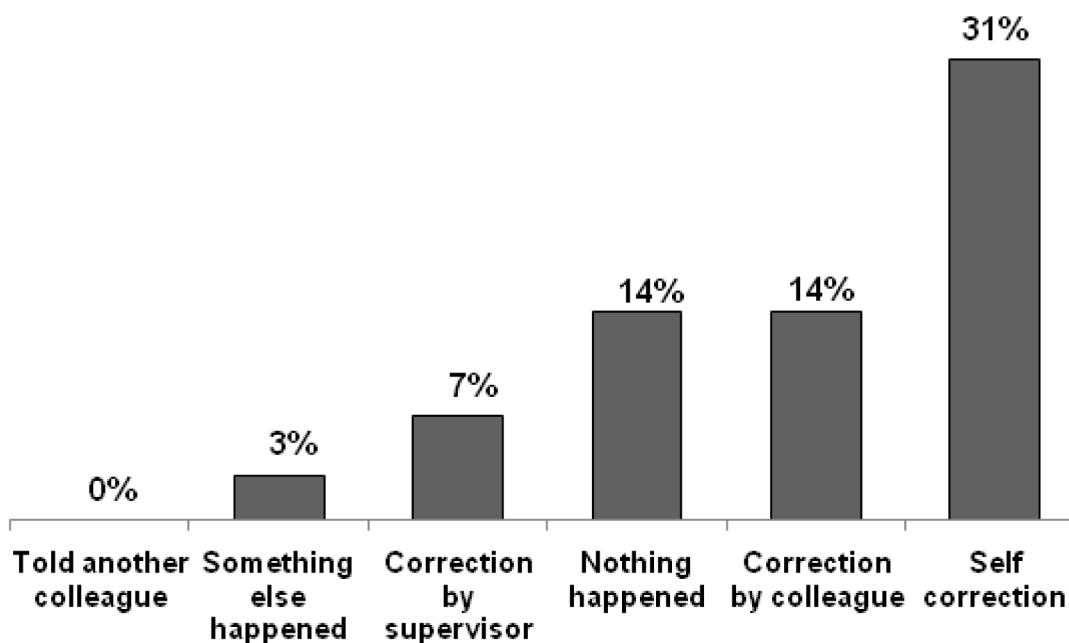
I don't agonize over stuff but I am sure I have broken the code somehow. – Participant

Also mirrored in these findings is the unwillingness to admit to or discuss personal unethical behaviors with colleagues in the workplace – generally, participants in this sample are more likely to mention others' unethical behaviors to colleagues – besides the department heads they would discuss it with for the intention of corrective or disciplinary action – (17%) but none (0%) indicated that they told another colleague about their own unethical behaviors.

COE Effect on Responses to Unethical Behavior

A two-tailed independent samples t-test -- corroborated by a Mann-Whitney U test (Table 1) – indicated a non-significant difference in levels of COE familiarity between those who did something in response to observed unethical behavior and those who did nothing in response to observed behavior ($t(36) = 1.23$, $p = .28$) Figure 9 shows that those with higher levels of COE familiarity are more likely to do something in response to observed unethical behaviors; however, a two-tailed independent samples t-test, corroborated by

Figure 9. Levels of COE familiarity for participants who did something in response to observed unethical behaviors. Participants with higher levels of COE familiarity were more likely to do something in response to observed unethical behaviors.

Effect of COE Familiarity on Responses to Observed Unethical Behaviors
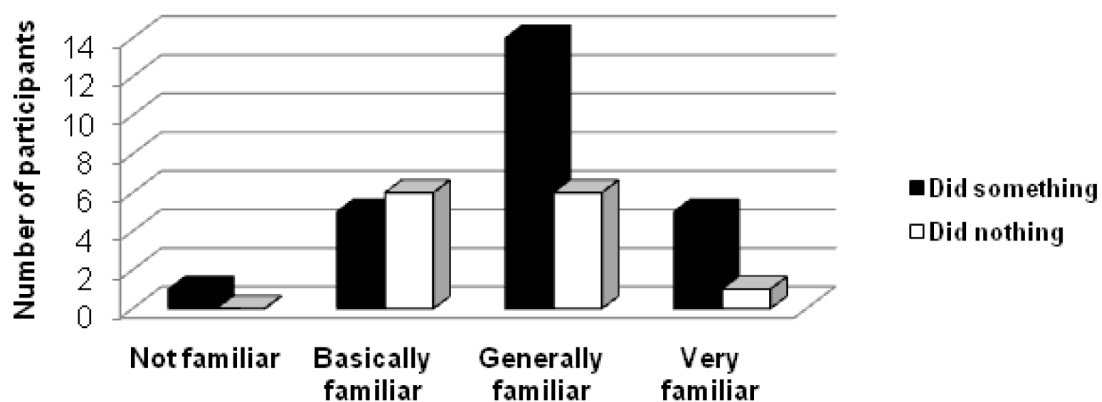
a Mann-Whitney U test (Table 1), showed no significant difference in levels of COE familiarity between those who did something in response to self-reported unethical behavior and those who did nothing in response to self-reported unethical behavior ($t(11) = -0.05., p = .96$).

ALA MEMBERSHIP AND ETHICAL BEHAVIOR

ALA Membership and COE Influence

Of 36 participants who are ALA members, 6 are very familiar with the COE, 21 are generally familiar with the COE, 8 indicate they are basically familiar with the COE, and only 1 consider themselves unfamiliar with the COE. On the other hand, of the five respondents who are not ALA members, none are very familiar with the COE, 2 are generally familiar with the COE, 3 are basically familiar with the COE, and none are unfamiliar with the COE. An independent samples t-test comparing the COE familiarity levels show that there is no significant difference in COE familiarity between ALA members and those who aren't ALA members ($t(39) = 1.48, p = .15$). These results were confirmed by a Mann-Whitney U test (Table 1).

ALA Membership and Responses to Unethical Behavior

We investigated the effect of ALA membership on responses to observing colleagues' unethical behaviors. The pattern of the data suggested that ALA membership did not af-

fect one's response to observing a colleague engage in unethical behavior. An independent samples t-test show that there is no significant difference in responses to observed behavior between ALA members and those who aren't ALA members ($t(36) = 0.40, p = .70$). These results were confirmed by a Mann-Whitney U test (Table 1). Of further interest was the effect of ALA membership on responses to one's own unethical behavior; however, the sample was too small to explore this quantitatively.

DISCUSSION AND IMPLICATIONS FOR LIBRARY EDUCATION AND LEADERSHIP

No tests revealed significant relationships (potentially due to the small sample size) between LIS education, COE familiarity and on-the-job behaviors; however, patterns found in the larger sample are mirrored in these results, particularly when it comes to the lack of strong agreement with COE principles, an absence of consensus surrounding issues of COE enforcement, the positive influence of focused LIS ethics education on awareness of the COE, and an implied positive link between COE familiarity and responses to observed and self-reported unethical behaviors in the workplace. Over 90% of the respondent group indicated they are members of ALA, which is encouraging because it models the behavior of supporting the professional association; however, previous research (Kendrick & Leaver, 2011) showed no significant relationship between ALA membership and responses to unethical behaviors in the workplace, and this pattern is mirrored this subset of

managers, which continues to highlight LIS professionals' ambivalent feelings regarding the effectiveness of the COE in daily work. Leaders should model behaviors that make the relationship between ALA membership and COE adherence clearer. This can be done in a number of ways, from simply prominently posting and discussing the COE to referencing the COE during decision- and policy-making tasks. In this way, the COE has meaning to emerging leaders who may struggle with making the broadly-worded document meaningful in their daily working environments.

While all participants in our sample had some sort of ethics training, it remains worth noting that many library leaders have only been trained via embedded ethics courses or informally via professional development or institutionally required courses. Previous evidence suggests a positive link between formal ethics LIS education and COE familiarity; and moreover there is a link between COE familiarity and less likelihood of ethical violations (Kendrick & Leaver, 2011). This suggests that those with no formal LIS ethics education are more likely to engage in unethical behaviors. Moreover, the fact that only 15% of library leaders claim to be very familiar with the COE underscores the dearth of intentional LIS ethics training (only 5% reporting they have taken a focused ethics course). Keeping in mind the positive links between LIS education, COE familiarity and the decreased instances of unethical behavior, this suggests the need for a closer look at standardizing or reforming ALA curricula regarding ethics. Specifically, another look at including required focused ethics courses

in SLIS may be helpful, especially since over two-thirds of library managers have faced ethical dilemmas in their workplaces within a six-month period. On a practical level, such low numbers of high familiarity with the COE among library leaders also hints at an increased need for focused, on-the-job LIS ethics professional development and training courses for library administrators, department heads, and managers.

Speaking specifically about leadership, results regarding the differences in responses to observed and self-reported unethical behaviors highlights a need for transparency in leadership. Appropriately revealing mistakes and missteps to colleagues and subordinates is a part of sound leadership, and such revelations are particularly useful when leaders are confronted with ethical dilemmas since such errors and experiences can be useful teaching tools or case studies that can be passed to new librarians, librarians who are transitioning to management positions, and even as continuing narratives or best practice touchstones for other library leaders.

CONCLUSION

The literature discussed the COE's effectiveness in solidifying LIS as a profession and guiding ethical behaviors in LIS workplace environments, and this investigative study attempted to explore and clarify those issues, with a particular focus on library leaders and their roles in shaping future ethical LIS leaders. Library leaders have had some exposure to ethics education; however because most of that exposure has happened via embed-

ded ethics course, many library leaders may be struggling with ethical decisions that lie outside of the more popular issues of equitable access, privacy, and confidentiality, particularly when those issues overlap with the increasingly complex ethical issues surrounding technology, social networking, and copyright.

To some degree, ancillary comments suggest that library leaders' hands can be tied when it comes to decision-making or rectifying unethical behaviors due to institutional constraints, a long-standing organizational culture, or, as in the case of department heads, lack of action by library administration. However, any lack of control current library leaders may have underscores the need to address issues of library ethics and behavior during succession planning. This will ensure that appropriate expectations for upholding the COE and modeling ethical behaviors can be created, promulgated and implemented as libraries and the LIS workforce evolve. Even though a call for a special code for library administrators has been published, considering the ambivalence the general ALA COE suffers, it is not clear if such a specialized code for this subset would be helpful.

It may also be prudent to note that a confluence of seasoned librarians who are not as well-trained in ethics with emerging LIS leaders in who may be used to considering (or at least aware of) complex issues when confronted with ethical dilemmas may also be a factor in gauging the usefulness of the COE, especially since, due to the nature of the COE (broadly written), different levels of experience, and varying expectations of workplace behaviors, the COE may in effect be rendered moot. Thus, the need for consensus on the effectiveness and authority of the COE is emphasized within the context of cultivating, advancing, and promoting ethical library leaders.

In addition to acquiring a larger sample size, future studies could be augmented by exploring the ethical decision-making processes of library leaders, looking at the motivational factors of ethical behavior, and investigating the intergenerational expectations of ethical workplace behaviors in library environments.

Wilder notes that "managers are aging at a faster rate than the ARL population as a whole," and concludes that "at a time when traditional library skill positions face extensive retirements, those charged with managing the transition will themselves be retiring at an even faster rate" (2003, pp. 41-42). Later, he predicts that 28% of ARL library directors will reach the age of 65 by 2005, and he also reports the continuing underrepresentation of minorities in leadership positions in ARL libraries. Statistics withstanding, academic libraries are in a prime position to develop and implement succession planning that not only ensures that those who lead academic libraries reflect their scholarly and humanistic aspirations, but that those leaders are invested in, uphold, and adhere to the values of LIS for the good of the profession and for those to whom they are in service.

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KEY TERMS AND DEFINITIONS

Academic Libraries: Libraries that are affiliated with a college or university. Collections and spaces exist to support the institution's programs of study and related student and faculty academic activities.

Code of Ethics: Principles adopted by a group to help members understand the "right" and "wrong" behavior norms of the group and how to apply the norms in their decision-making processes.

Decision-Making: A cognitive process ending in an action from a myriad of case studies or scenarios.

Ethics: Principles that help guide a person's behavior.

APPENDIX

General Characteristics

Box 1. In which category does your age fall?

☐ Under 25

☐ 25-35

☐ 36-44

☐ 45-54

☐ 55-64

☐ 65 and over

Box 2. Please select your gender

☐ Male

☐ Female

Box 3. Do you have an ALA- accredited MLS (or its equivalent)?

☐ Yes

☐ No

Box 4. How long have you been working as a credentialed librarian (an ALA-accredited Masters degree or its equivalent)?

☐ 0-3 years

☐ 4- 6 years

☐ 7-10 years

☐ 11-19 years

☐ 20+ years

☐ I'm not a credentialed librarian

Box 5. What kind of academic library do you work in?

☐ Two year public

☐ Two year private

☐ 4 year public

☐ 4 year private

☐ research university library

☐ I don't work in an academic library

☐ Other (please specify):

[ ]

Box 6. In which department do you currently work? If you have a job spanning several areas, indicate the duty that is core to your position.

☐ Administration

☐ Management (Dept. Head)

☐ Public Services

☐ Reference/Instruction (including Learning/Information Commons)

☐ Collection Development

☐ Acquisitions

☐ Electronic Resources

☐ Cataloging

☐ Archives

☐ Government Documents

☐ Other (please specify):

[ ]

Box 7. In what size city is your institution located?

☐ Metropolis (500,000 or more; ex. New York, NY)

☐ Large city (100,000 – 499,999; ex. Kansas City, MO)

☐ Small city (50,000 – 99,999; ex.Charleston, S.C.)

☐ Suburb (20,000 – 49,999; ex. Smyrna, GA)

☐ Exurb (10,000 – 19999; Wilsonville, OR)

☐ Rural (less than 10,000)

☐ I don't know/Not sure

Box 8. Are you a member of the American Library Association?

☐ Yes

☐ No

Ethics Education and Training

Box 9. During library school, did you take a focused ethics course?

☐ Yes

☐ No

☐ I don't know/Not sure

☐ I didn't go to library school

Box 10. If no, was the study of ethics embedded in another course (ex. Within an LIS Intro course or library management course)?

☐ Yes

☐ No

☐ I don't know/Not sure

☐ N/A (Not applicable)

Box 11. During your professional library career, have you attended training/professional development in library ethics?

☐ Yes

☐ No

☐ I don't know/Not sure

Box 12. Does your institution/ university system require ethics training for employees?

☐ Yes

☐ No

☐ I don't know/Not sure

ALA Code of Ethics

Choose your level of agreement with the following (See Table 2):

Box 13. How familiar are you with the ALA Code of Ethics?

☐ I am not familiar with it.

☐ Basically familiar – I know it exists and have never referred to it.

☐ Generally familiar – I know it exists and have used it as a guideline from time to time

☐ Very familiar – I know it exists and use it as a guideline in most of my work and interactions.

Table 2. The ALA Code of Ethics…

Completely, Somewhat, No Opinion						
Agree, Disagree, Don't Know						
…adequately covers the general day-to-day concerns of the modern librarian.						
…should offer more specific guidelines for professional conduct.						
…clearly uphold the professionalism of librarianship.						
.…is a useful tool to consult for guidance in conflict and behavior						
…is more concerned with protecting library users than librarians.						
…creates a sense of duty and collective purpose for librarians						
...would be more effective if they included instructions for code violations.						

Ethics at Work

Box 14. In the last six months, how many times have you dealt with an ethical dilemma?

☐ 0 times

☐ 1-3 times

☐ 4-6 times

☐ 7-10 times

☐ More than 10 times

Box 15. The majority of those dilemmas covered

☐ Equitable customer service/access

☐ Intellectual Freedom/ acts of self-censorship

☐ Patron privacy and/or confidentiality

☐ Intellectual property

☐ Collegiality

☐ Conflict between personal beliefs and institutional mission

☐ Professional development/mentoring/library advocacy

☐ N/A (Not applicable)

☐ Other (please specify):

_____

Box 16. Have you ever seen a colleague act unethically?

☐ Yes

☐ No

☐ I don't know/Not sure

Box 17. If yes, what did the unethical act(s) violate? (check as many as apply)

☐ Equitable customer service/access

☐ Intellectual Freedom/ self-censorship

☐ Patron privacy and/or confidentiality

☐ Intellectual property

☐ Collegiality

☐ Conflict between personal beliefs and institutional mission

☐ Professional development/mentoring/library advocacy

☐ N/A (Not applicable)

☐ Other (please specify):

[   ]

Box 18. How did you respond after seeing the unethical act? (check as many as apply)

☐ Brought it up to your offending colleague (corrective action)

☐ Told a department head for corrective action

☐ Told another colleague

☐ Nothing

☐ N/A (Not applicable)

☐ Something else (please specify):

[   ]

Box 19. Do you feel you have ever acted in an unethical manner as a Librarian?

☐ Yes

☐ No

☐ I don't know/Not sure

Box 20. If so, what did the unethical act(s) violate? (check as many as apply)

☐ Equitable customer service/access

☐ Intellectual Freedom/ self-censorship

☐ Patron privacy and/or confidentiality

☐ Intellectual property

☐ Collegiality

☐ Conflict between personal beliefs and institutional mission

☐ Professional development/mentoring/library advocacy

☐ N/A (Not applicable)

☐ Other (please specify):

_____

Box 21. What happened after the unethical act(s)? (check as many as apply)

☐ I corrected myself

☐ A colleague talked to me about it and corrected my action

☐ A supervisor talked to me about it and corrected my action

☐ I told another colleague

☐ Nothing

☐ N/A (Not applicable)

Something else (please specify):

Policies and Practices

Box 22. Your library administration/management supports ethical behavior through/by (choose all that apply)

☐ Professional development

☐ Code of Conduct Policies

☐ Promoting collegiality

☐ Penalizing unethical acts or correcting unethical behavior

☐ My library administration does not support ethical behavior

☐ Other (please specify):

Box 23. Does your library currently have unethical policies in place?

☐ Yes

☐ No

☐ I don't know/Not sure

Box 24. If yes, what areas of the COE do those policies violate? (choose as many as apply)

☐ Equitable customer service/access

☐ Intellectual Freedom/ self-censorship

☐ Patron privacy and/or confidentiality

☐ Intellectual property

☐ Collegiality

☐ Conflict between personal beliefs and institutional mission

☐ Professional development/mentoring/library advocacy

☐ N/A (Not applicable)

☐ Other (please specify):

[   ]

Box 25. Do you think that your library administration/management is aware that the policies are unethical?

- ☐ Yes

- ☐ No

- ☐ I don't know/Not sure

- ☐ N/A (Not applicable)

Box 26. What have you done to change the policy(ies)? (choose all that apply)

- ☐ Created a task force or committee

- ☐ Talked with library administration or management

- ☐ Talked informally with colleagues

- ☐ Nothing

- ☐ N/A (Not applicable)

- ☐ Something else (please specify):

Box 27. Does your library condone unethical practices (ex: offering access to patron records), even if there are ethical policies in place (ex: The state confidentiality law is posted and discussed in training)?

- ☐ Yes

- ☐ No

- ☐ I don't know/Not sure

Box 28. If yes, what areas of the COE do these unethical practices violate? (choose as many as apply)

☐ Equitable customer service/access

☐ Intellectual Freedom/self-censorship

☐ Patron privacy and/or confidentiality

☐ Intellectual property

☐ Collegiality

☐ Conflict between personal beliefs and institutional mission

☐ Professional development/mentoring/library advocacy

☐ N/A (Not applicable)

☐ Other (please specify):

[_____]

Box 29. Do you think that your library administration/management is aware that the practices are unethical?

☐ Yes

☐ No

☐ I don't know

☐ N/A (Not applicable)

Box 30. What have you done to change these unethical practices? (choose all that apply)

☐ Created a task force or committee

☐ Talked with library administration or management

☐ Talked informally with colleagues

☐ Nothing

☐ N/A (Not applicable)

☐ Something else (please specify):

Wrap Up and Comments

Box 31. Use this space to discuss ethics training/professional development

Box 32. Use this space to discuss any concerns about ethics in your workplace, including examples of questionable policies and/or practices.

Box 33. If you like, you may add your general comments about this study here

If you are interested in being interviewed with regard to this study, please leave your name and e-mail. If you prefer, you may contact the Principal Investigator:

Kaetrenak@usca.edu

803.641.3282

Chapter 5
The Role of Professional Protocols:
Recruitment, Retention, and Service

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ABSTRACT

The cultivation of professionalism is a necessary part of training the academic and research library leaders of the future. By incorporating professionalism into succession planning efforts, individuals acquire skills that will serve them across institutions as they transition between positions of power. For the purposes of this study, the aspects of professionalism were divided into four main categories: etiquette, professional behavior, personal presentation, and space (how people fill and use it). This chapter examines existing literature and contains the results of a survey of how library employees feel about professional protocols. It argues that the observance of professional protocols can impact student satisfaction as well as create a more positive work environment. Results of the survey indicate that libraries value professionalism with an emphasis on professional behavior.

INTRODUCTION

The importance of professionalism at all levels in the library work environment has been largely ignored in succession planning. Succession planning has traditionally focusesd on the grooming of individuals to lead a single organization (Nixon, 2008; Rothwell, 2005; Singer & Griffith, 2010). The need to retain individuals has also been addressed, but with a focus on grooming them for management positions within the current organization (Singer & Griffith, 2010). In reality, while people may be groomed to be successful leaders there is no guarantee in today's changing society that they will remain within that organization. Even if a person takes on a leadership role within the individual's current organization, many leadership positions within organizations change hands every five to ten years. Thus it is important to teach leaders the skills and tools to succeed not just in one institution, but across multiple institutions (Webster & Young, 2009). Additionally, the question of whether or not librarianship is a profession has been an ongoing debate within the professional literature and, more recently, on the Internet (Abbott, 1988; DeWeese, 1972; Harris, 1993; Plummer, 1903; Potter, 2010). This questioning of librarianships status as a profession often includes questioning the worth of a master's degree in library science (Potter, 2010). It has also been examined as a source of conflict between librarians and staff, who are sometimes labeled paraprofessionals (Jones & Stivers, 2004). It may appear that librarians are unique in questioning the professionalism of their discipline, however, perceived declines in professionalism and similar questions have been raised among the clergy, financial, legal, medical, social services and other professions (Burger, 1993; Flexner, 1915; Noordegraaf, 2007; Schön, 1983).

This chapter explores professionalism across a broad spectrum of disciplines to define professional protocols. Professionalism will be examined not as a label granted by others or defined by a specific role in an institution, but as a set of behaviors and actions taken by individuals and organizations (Polk-Lepson Research Group, 2009). Protocols across professions will be discussed with a heavy emphasis on the business, medical, and sociological communities. Professional ethics will not be examined due to the substantial body of works devoted to that aspect of professionalism. A short survey was also conducted to discover how librarians ranked each type of professional protocol in terms of importance. For the purposes of this research protocols were divided into four categories: etiquette, professional behavior, personal presentation, and space (how people fill and use it). These protocols will provide guidance for libraries seeking to establish professional protocols by identifying key areas to be addressed and the protocols of concern within the library community. Establishing a more uniform set of professional protocols would lessen the perceived differences between institutional cultures and facilitate professional working environments, thus easing transitions in power at all levels. Professional protocols can also be used to ensure equitable treatment of employees by those in positions of power. Behavior that is perceived to be negative creates a negative

environment and has been shown to increase employee turnover (Harris, Harvey, & Booth, 2010). Maintaining a professional climate will help create the positive work environment necessary for employee retention (Zineldin, Akdag, & Belal, 2012). This can be critical to employee retention after an organization loses a popular leader (Zineldin et al., 2012). Most importantly, professional protocols will create a positive atmosphere which users of academic libraries, and potential applicants will pick up on, creating a positive image of the organization (Zineldin et al., 2012).

Questioning Librarianship: What is Professionalism

The likelihood of a profession, namely librarianship, surviving depends to a large extent on its ability to articulate professionalism in such a way that it will meet the ever-changing needs of the library users of the future. - Martha Kyrillidou, 2000

The questioning of what professionalism means in librarianship has been ongoing for over a century (Plummer, 1903; Harris, 1993). Traditionally professionalism has been largely validated by society through the attainment of specific knowledge and skills causing many groups to define themselves as professionals through some sort of accreditation process (Bledstein, 1976; Noordegraaf, 2007; Polk-Lepson Research Group, 2009; Walker, Hein, Russ, Bertlett, & Caspersz, 2010). Hall's Professionalism Scale demonstrates the perceived need to define professionalism through the following: associations, common ideology,

self-regulation, having a career not a job, and autonomy (1968). This way of thinking causes individuals to look outward for societal validation to create a sense of professional worth (Noordegraaf, 2007). In social work, another public service profession, it has been shown that among younger students, "concern with their age was a recurring theme...In contrast, older students tended to draw on their age and experience to support their sense of professional confidence" (Fook, Ryan, & Hawkins, 2000). While it is useful for professionals to learn from others about professional conduct there are several professional protocols that all employees can follow, regardless of position or job description. Rather than look externally for validation librarians and professional library staff should act in a professional manner when interacting with students, faculty, staff, the general public, and each other (Ruppert & Green, 2011; Pellack, 2008; Noordegraaf, 2007; Polk-Lepson Research Group, 2009). While this may seem like a "fake it till you make it" attitude, treating others as we wish to be treated is an age-old adage. How can librarians and staff expect others to see them as professionals if they do not act in a professional manner? In 2009 the Polk-Lepson study of 520 human resources professionals and business leaders found that:

The vast majority of respondents (88.1%) think of professionalism as being related to the person rather than the position. Anyone in any position has the potential to exhibit professional traits and behavior (2009, p. 9).

This line of thinking places the onus of professionalism on the individual. This point was further emphasized by Polk- Lepson's 2009 finding that "50 percent or more of the hiring decision is based on an assessment of the applicant's professionalism" (p. 14).

Maintaining a professional workplace requires employees to be as courteous with their colleagues as with those they serve (Pellack, 2008). Patrons see how individuals within an organization treat each other and judge the organization by this behavior (Pellack, 2008). Research has also demonstrated that as people change jobs more frequently professionalism becomes a key motivator for some individuals (Bieńkowska, 2012). By identifying professional protocols common to librarianship and other respected professions this chapter will define key protocols which should be considered and addressed across all institutions. Professionalism is a learned behavior defined and reinforced by the people around us (Humphrey, Smith, Reddy, Scott, Madara, & Arora, 2007). The use of the labels non-professional, a particularly insulting term, or paraprofessional as an excuse to degrade professional staff who work with librarians demonstrates a lack of professionalism on the part of both librarians and administrators (Fialkoff, 2010). These labels fail to acknowledge that professional library staff may have more years of experience and training than the librarians with whom they work. This lack of professionalism towards library staff could be rectified by acknowledging that all workers have the ability to choose to act professionally and should be treated in a professional manner regardless of job title. The exact details

of the protocols will vary from institution to institution. However, training all employees to think about, and practice, consistent professional protocols would help ensure maximum equity in the treatment of those who serve, and are served by, an organization. Many recent papers and online discussions within librarianship have centered on the question of whether or not librarianship is or is not a profession (Deschamps, 2010; Lepczyk, 2013; Litwin, 2010; Lonergan, 2009). This debate may be due in part to lack of unity, and lack of consistent protocols, making it difficult to define empirically whether librarianship is or is not a profession (Deschamps, 2010; Lepczyk, 2013; Litwin, 2010; Lonergan, 2009).

DEFINING PROFESSIONAL PROTOCOLS

Etiquette

Etiquette is a broad category of professional protocols that encompasses the rules of behavior in society. These rules include holding a door open for someone with their arms full, or standing so that someone else may have a seat on the bus. Etiquette has been emphasized in programs designed to transition students to successful graduates, career coaching, and professional development workshops across disciplines. (Hansen, 2011; Kogod School of Business, 2012; Polk-Lepson Research Group, 2009; American Physical Society, 2012). Rules of etiquette cover how people interact in a professional setting, using email, social media, online message boards, and the phone, as well as at social business events, and during

the job search (Hansen, 2011; Kogod School of Business, 2012; Mujtaba & Salghur, 2005; Polk-Lepson Research Group, 2009). Rules of behavior are often perceived as tiresome, yet, research has shown that negative employee interactions decrease efficiency and lead to higher rates of employee turnover (Dinger, Thatcher, Stepina, & Craig, 2012; Frisina & Frisina, 2011; Pellack, 2008). Increased professionalism and confidence in managers equitable treatment of employees positively correlates to higher job performance and employee retention (Dinger et al., 2012). This section examines rules of etiquette in professional settings across a variety of disciplines including: business, law, libraries, information technology, and sociology.

The Kogod School of Business, part of American University in Washington D.C., spells out several distinct professional protocols for their students (2012). Timeliness is emphasized repeatedly: getting back to colleagues in a reasonable amount of time, writing of thank you notes, responses to job offers, and attendance of professional events (Kogod School of Business, 2012).

Fook, Ryan and Hawkins state "communication skills imply a facility to dialogue with all different types of people and groups, using lots of different media in different situations" (2000, p. 46). Businesses and organizations have developed in-house rules of email etiquette to help ensure professional communication by their employees (Desai, Hart, & Richards, 2009; Kogod School of Business, 2012). When workers do not observe proper email etiquette they not only risk appearing less than professional, but, depending on their actions, this can open the door for lawsuits against their company, (Desai, Hart, & Richards, 2009; Erskine, 2011). Research has also indicated that individuals are more judgmental of others mistakes when they do not possess information about the culture or disabilities that may be hindering their correspondent (Vignovic & Thompson, 2010). While grammatical and spelling violations caused a negative perception of the writer by the participants, this perception could be mitigated by revealing the writer's non-native status or disability (Vignovic & Thompson, 2010). However, when messages were short, but without error, revelation of the sender's status did not mitigate the participants' negative reaction to the message (Vignovic & Thompson, 2010). This demonstrates the need to communicate in a clear and concise manner while avoiding the temptation to send the shortest possible message and appearing rude or annoyed.

Equally important is how individuals present themselves through social media. Unlike emails which may be read by a limited audience, barring accidental mass emailing, participation in social media places information online that can potentially be viewed by anyone with an Internet connection. Much emphasis has been placed on the ethics of what is posted online. But, even those postings which are not unethical can impact an individual when applying for a job, research grant, or when nominated for an award (AMA Council on Ethical and Judicial Affairs, n.d.; Greysen, Kind, & Chretien, 2010; George Washington University Law School Career Development Office, n.d.; Kogod School of

Business, 2012). Behavior which is perfectly acceptable in private can be damaging if posted online. This creates the potential for friction between an individual's personal life and the expectations that employers have of employees presenting a professional image at all times (AMA Council on Ethical and Judicial Affairs, n.d.; George Washington University Law School Career Development Office, n.d.).

Social media is often seen as a mirror of an individual. This has led to a society in which one thoughtless picture, one 140 character tweet, blog post, YouTube video, Myspace, FriendFeed, Academia.edu, LinkedIn or Facebook post in bad taste can negatively brand an individual as potentially undesirable (Greysen, Kind, & Chretien, 2010). Many people become uninhibited online forgetting that others can see what they post (AMA Council on Ethical and Judicial Affairs, n.d.). Acting in a thoughtful manner is often assumed to be common sense, but social media how-to guides usually include advice such as "Assume everyone can see everything" or "Do not badmouth your job, your colleagues, your boss, your company or your clients," because of the mental disconnect between online and offline behavior (George Washington University Law School Career Development Office, n.d.). One popular solution is for individuals to have both public and private accounts for social media Websites, thus separating individuals personal and professional presence online (AMA Council on Ethical and Judicial Affairs, n.d.; George Washington University Law School Career Development Office, n.d.). An alternative solution is to al-low only one's professional presence to show online (George Washington University Law School Career Development Office, n.d.). Individuals can choose to participate somewhat anonymously online through the use of alternate screen names and privacy setting. However, this lack of obvious participation may harm job candidates who are not able to demonstrate social media expertise when in search of employment (George Washington University Law School Career Development Office, n.d.).

Professional Behavior and Personal Presentation

Professional behavior and personal presentation are two separate, but interconnected, types of professional protocols. Professional behavior can be viewed as how an individual interacts with the people around them. Personal presentation is defined here as the appearance, perceived affect, and manner in which an individual moves. Acting responsibly and demonstrating respect for others increases professionalism through positive professional behavior (Phelps, 2006; Fook, Ryan, & Hawkins, 2000; Webster & Young, 2009). Focusing on improving a situation or helping another person demonstrates respect for the individual's point of view and concerns (Phelps, 2006). Actively listening to others concerns without judgment is one way to demonstrate respect (Fook et al., 2000). These values are integrated in a Code of Professionalism developed by an obstetrics service line as "integrity, compassion, respect, excellence" (DuPree, Anderson, McEvory, & Brodman, 2011). Perceived affect, or how others read

an individual's body language can escalate or calm a situation (Fook et al., 2000). How individuals interact and present themselves is also a political skill. Harris, Harvey and Booth identify political skills, as a key trait in maintaining good working relationships (2010). Harris, Harvey and Booth demonstrate that the ability to see others' points of view and present oneself in a positive manner reduces the chances that an individual will engage in coworker abuse (2010). Coworker abuse is direct or indirect aggression toward a fellow employee of similar seniority (Harris et al., 2010). Examples of coworker abuse include: ignoring a coworker at departmental or social events, neglecting to pass on pertinent information, physical or verbal abuse and taking credit for someone else's work (Harris et. al, 2010). Reducing coworker abuse would reduce negative conflict in the workplace and contribute to creating a positive work environment. Positive work environments not only influence employee retention, but also outside recruitment success due to the sharing of information between colleagues at different institutions (Dinger, Thatcher, Stepina, & Craig, 2012). The need to be seen as respectful, dependable, and focused on the needs of others, resonates throughout the literature (American Dental Education Association, 2009; American Society of Military Comptrollers, 2012; DuPree et al., 2011; Harris et al., 2010; Phelps, 2006; Oregon State Bar, 2011; Cardillo, 2009; Polk-Lepson Research Group, 2009).

Perceived affect, how others view an individual, may not initially seem relevant to an individual's ability to perform well in a professional position. However, Casciaro and Lobo suggest that negative perceptions of an individual can cause people to choose other less competent people as partners for projects because they have a more positive affect (2008). Casciaro and Lobo indicate that when all possible partners are perceived in a positive manner competence is a stronger criterion for choosing a partner (2008). This research suggests that those who are perceived negatively will have less chance for advancement due to being less likely to be chosen as a partner when others are working on projects which may advance the careers of these individuals (Casciaro & Lobo, 2008). This bias can be harmful for the organization which could have benefited from these individuals expertise on projects (Casciaro & Lobo, 2008). The development of a positive perceived affect is critical for future leaders (Webster & Young, 2009).

Increasing employees' positive perceived effect can be accomplished by developing professional characteristics and minimizing unprofessional characteristics. The Polk-Lepson Research Group identified "appearance" and "self-confidence and self-awareness" as two of the top five characteristics of professional employees (2009, p. 9). "Appearance," "poor work ethic," "poor attitude" and "having a sense of entitlement" were four of the six most unprofessional characteristics identified in the Polk-Lepson study (2009, p. 10). The section of the Kogod School of Business *Student Professionalism Expectations and Recruiting Policies* devoted to proper attire emphasizes the importance of appearance (2012). Those seeking to be leaders need to take the em-

phasis on appearance into consideration as they dress and take care to be seen acting in a professional and respectful manner. Projecting a positive affect may seem disingenuous; however, this practice potentially maximizes an individual's potential effectiveness, and can positively impact an individual's professional reputation (Casciaro & Lobo, 2008). Organizations can define explicit expectations for both dress and behavior in order to help guide individuals in the quest for professionalism and advancement.

Space: How Individuals Occupy Personal and Shared Areas

How individuals occupy personal and shared spaces affects others perceptions of them. For the purposes of this discussion personal space is the space between people that an individual needs to feel comfortable in an unshared work area; shared space is public space or shared work areas. Location, culture, gender, health and group dynamics are also used to determine acceptable forms of occupying space (Cochran, Hale, & Hissam, 1984; Eaton & Snook-Hill, 1997; Huckauf, 2007; Ozdemir, 2008; Novelli, Drury, & Reicher, 2010; Powell, 2010). Images of large cities show people stand closely, while photographs of small cities and rural areas show larger open spaces between people. The number of people in a group, expectations of close contact with others or lack thereof, varies the amount of personal space needed for individuals to feel comfortable (Huckauf, 2007; Novelli et al., 2010). Being aware of cultural norms is especially important to be aware of if there are a high number of international, or non-

local, employees or users (Huckauf, 2007; Mazur, 1977; Novelli et al., 2010). Concepts of personal space are the most different when interacting between contact and noncontact cultures, but should always be respected (Mazur, 1977). Visible and non-visible health issues, such as using a wheel chair or being autistic, may make it difficult for an individual to perceive the space boundaries of others (Eaton & Snook-Hill, 1997). These difficulties can cause others to unfairly judge these individuals as being inconsiderate without taking into account each person's physical limitations (Eaton & Snook-Hill, 1997). The amount and type of space individuals have to move within also determines personal space requirements (Cochran et al., 1984). Of note, less personal space is needed in open spaces, than indoors (Cochran et al., 1984). In public spaces males prefer more personal space when speaking with other males and less when speaking with females (Ozdemir, 2008).

Individuals, who feel crowded, without enough personal or work space, have demonstrated a significant drop in complex task performance (Sinha & Sinha, 1991). But these individuals show no drop in ability to complete simple tasks (Sinha & Sinha, 1991). These findings lend credence to the argument that respecting individual spatial boundaries, and work spaces, is necessary to higher performance levels. Perceived invasion of personal space can cause a significant amount of stress to an employee or patron (Cavallin & Houston, 1980). A culture respecting personal space is more likely to have high performance levels and less stress, increasing job satisfaction and political awareness. Understanding the

preferences and cultures of the organization and those served by it increases an individual's political and personal awareness, a key trait for leaders (Webster & Young, 2009).

The Link between Professionalism and Student Satisfaction

Zineldin, Akdag and Belal identified ten critical components of student satisfaction in Egypt and Turkey. Four of these critical components are relevant to professional protocols in academic libraries: "lecturer's commitment," "responsiveness of the professors to your needs and questions," "politeness of the professors" and "politeness of the assistants" (Zineldin, Akdag, & Belal, 2012). Commitment and responsiveness can be measured by the attitude of librarians and professional library staff, and the willingness to help when interacting with students (Zineldin et al., 2012). The emphasis on politeness indicates the importance of observing social niceties when interacting with others, discussed above as perceived affect (Zineldin et al., 2012). Intimidating behaviors are not only considered rude and unprofessional but can contribute to an increase in errors made while giving those on the receiving end a negative impression of an institution's culture (DuPree, Anderson, McEvory, & Brodman, 2011). Developing protocols about how to hand off users to other librarians and staff would decrease the perception that the person being referred was an inconvenience to the referrer (Humphrey, Smith, Reddy, Scott, Madara, & Arora, 2007; Cardillo, 2009). These actions would also increase the perception of that the referrer is willing and happy to help the person being referred but is not the person who is able to accommodate the needs which have been expressed (Humphrey et al., 2007; Cardillo, 2009).

How someone is helped, the tone of voice, the expression on one's face, can be just as important as providing the assistance requested (Zineldin et al., 2012). Explaining why a person needs to be referred can inform patrons and potentially minimize or eliminate the referred individual's perception that the referrer does not wish to help them. As libraries are increasingly under pressure to demonstrate the relevance of libraries and those who work in them, and to prove the economic worth of these institutions and professionals, user studies have become increasingly popular. Zineldin, Akdag and Belal's research demonstrates that increased professionalism through polite, sincere, responsiveness is one way to increase the satisfaction of library users at no cost (2012).

STUDY METHODOLOGY

Procedure

Due to the fact that professionalism in the library field has previously been ignored, and the ongoing debate of librarianship as a profession, the researchers were motivated to examine existing literature and poll professionals currently working in the academic library field today. However, the academic library field is a relatively small community and with this in mind, the researcher opted to utilize the survey method. The online survey method was selected for the following reasons:

because it ensured anonymity; and could be completed at respondents' convenience during the two month study period, from June to July in 2011. An eight-question survey was developed for participants to answer online through SurveyMonkey to ensure confidentiality (see Appendix). The survey was open for respondents to complete two months from date of invitation.

The survey consisted of eight questions. Seven of the questions were multiple choice selections, and one question used a five point Likert-style scale (ranging from Completely Unimportant to Very Important). For the purposes of this study the aspects of professionalism were divided into four main categories identified through a review of existing literature on professionalism. The categories identifies were: etiquette; professional behavior; personal presentation; and space (how people fill space and use it). The Likert-style scale was developed to elicit personal perspectives from the respondents in relation to these four categories; and to determine what aspect of professionalism, if any, was seen as most important.

Participants

Participants were solicited from several list-servs managed by the Association of Research Libraries (ARL) Diversity and Leadership program with a total membership of 373. Members of the listservs are past program participants from ARL programs such as the Leadership and Career Development Program,

the Initiative to Recruit a Diverse Workforce, and the Career Enhancement Program. These groups were made up of individuals who participated in these programs as either library school students or midcareer librarians (five to seven years of professional experience). The mailing list is open to all current and past program participants providing access to a diverse group of individuals at a variety of career stages. The participation of all individuals in a professional development program is a limitation on this study as these individuals may not equally represent the views of individuals who have not had the opportunity to participate in these or other professional development programs. In order to participate, individuals had to choose to follow a link to the survey hosted by Survey Monkey. No personally identifying information was gathered, making it impossible for the researchers to determine who had and had not participated in the study. It was explicitly stated on the informed consent form before the beginning of the survey that individuals were free participate, or not, without harming the relationship between them and the researchers. No rewards were offered to individuals to induce participation. All participants were self-selected based on personal interest. Before being admitted to the survey participants were shown an image of the informed consent form and certified, by clicking next to go to the survey question, that they were 19 years of age or older, the legal age of majority in the researchers home state, in compliance with the IRB exempt status of the survey.

RESULTS

A total of 64 individuals responded to the eight-question survey from the invitations sent out to the various listservs. Demographics for the respondents showed that 60% currently work at either a college or university library, and 32% are ARL Institutions. 39% currently reside in the Midwest, 20% in the Northeast, 17% in the Southeast, 13% in the West, and 8% in the Southwest. Two age brackets had identical number of respondents, the 26-30 and 31-40 age brackets both had 27% while the 41-50 age bracket followed with 22%, and 11% for the 25 and under age bracket, and slightly less for 51-60 age bracket with seven percent. The 61 and over age bracket had the smallest representation with only two percent. The majority of survey respondents, 80%, were at the time of the survey, working as librarians. In contrast, only nine percent of respondents were working as Support Staff and eight percent worked as Administration. Previous work history was described as one or more careers in a setting other than a library for nearly 62% of respondents while 38% were students who went straight to library employment from high school, college or graduate school.

The researchers conducted two tests, Chi-Square test and Fisher's Exact Test with respect to the questions (except Question 1 and Question 4) asked in comparison to demographics of work history and region. Region in relation to Question 2 and Question 5 were the only ones that resulted in significance, and the interpretation is that the distribution of the responses of region in terms of the two questions do not appear to be the same across all 5 regions. The Midwest region differed significantly from the other regions for both questions. While the results suggest significance, the sample size used was too small to determine statistical significance.

96% of survey respondents felt that "Librarianship" is a profession and 3% indicated they did not feel it was a profession. Of those respondents who felt "Librarianship" was a profession, 63% also believe those who work in libraries are "professional" while 17% were "neutral" and 8% felt they were "very professional." These results may be skewed due to the fact that all of the individuals surveyed were solicited from groups who had participated in national professional development programs. However, even within this group some individuals did not feel that librarianship was a profession, or felt that neutral about whether individuals who work in libraries are professional, reflecting the conflict within librarianship as to the status and professionalism of librarians. The percentages shown in Figures 1 and 2 have been rounded to the nearest whole number and may total to more than 100%.

55% of respondents also felt "Etiquette" was important to maintaining a professional atmosphere while 36% felt it was "very important." In contrast, only 3% felt it was "completely unimportant" (see Figure 3). This indicates that the majority of the individuals surveyed, 91% agreed with the literature that etiquette is an important facet in a professional work environment.

Responding to a question focusing on how important Professional Behavior is to maintaining a professional atmosphere, 66% responded that Professional Behavior was "very important" and 25% responded it was "important." 91% of the respondents indicated

Figure 1. Do you feel that "Librarianship" is a profession?
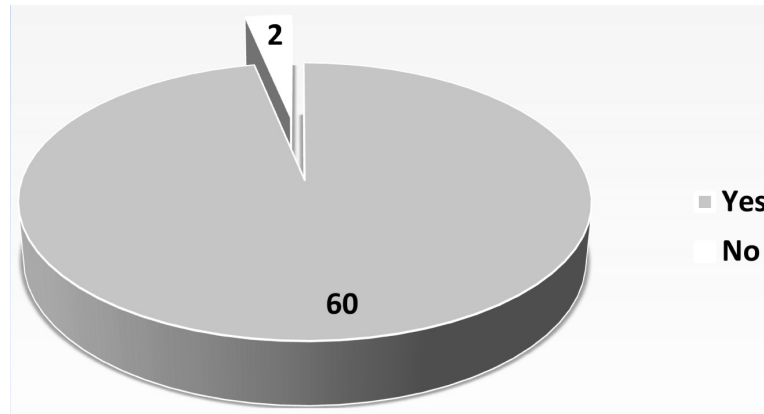
Figure 2. If you answered yes above, how professional do you feel those who work in libraries are?
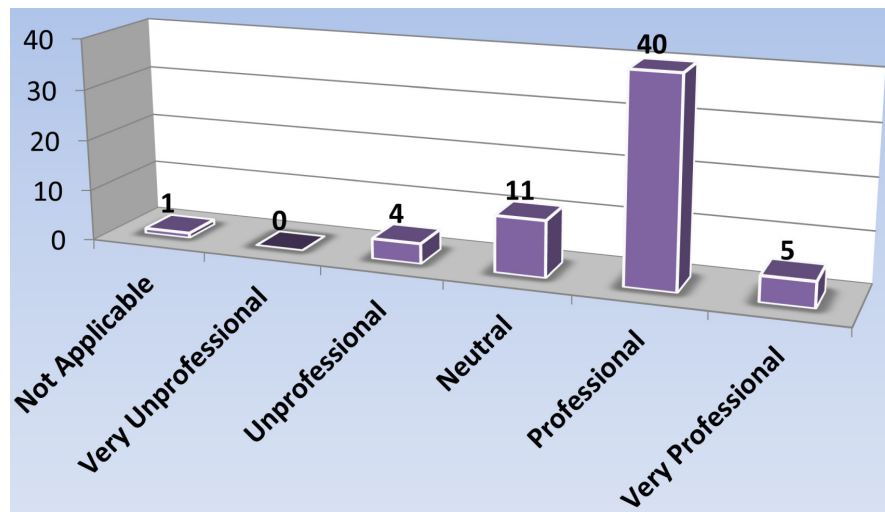
that Proffesional Behavior was either very important or important to maintaining a professional atmosphere (Figure 4).

The importance of "Personal Presentation" such as appearance, externally perceived attitude, and movement was seen as "important" by 47% and "very important" by 30%. This demonstrated that 77% of the respondents perceived personal presentation as key to maintaining professionalism in line with the viewpoints presented in the literature review

from business, medical, and sociology professions (Figure 5).

How people fill and occupy both personal and shared areas in terms of Space and maintaining a professional atmosphere were seen as "important" by 56% of respondents while 22% were "neutral" and 13% felt it was "very important." This shows that the majority, but not all of respondents, recognize that respecting others' personal space plays an important role in professionalism (Figure 6).

Figure 3. How important do you feel etiquette is to maintaining a professional atmosphere?
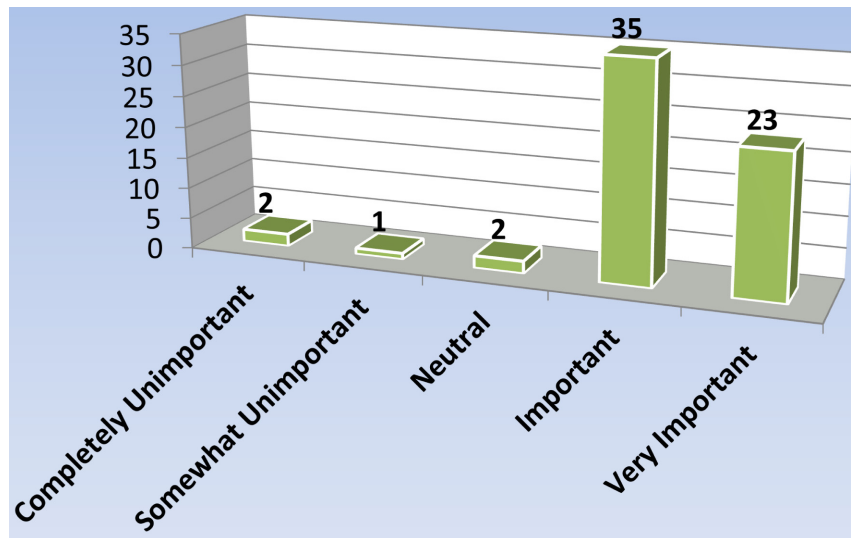
Figure 4. How important do you feel professional behavior is to maintaining a professional atmosphere?
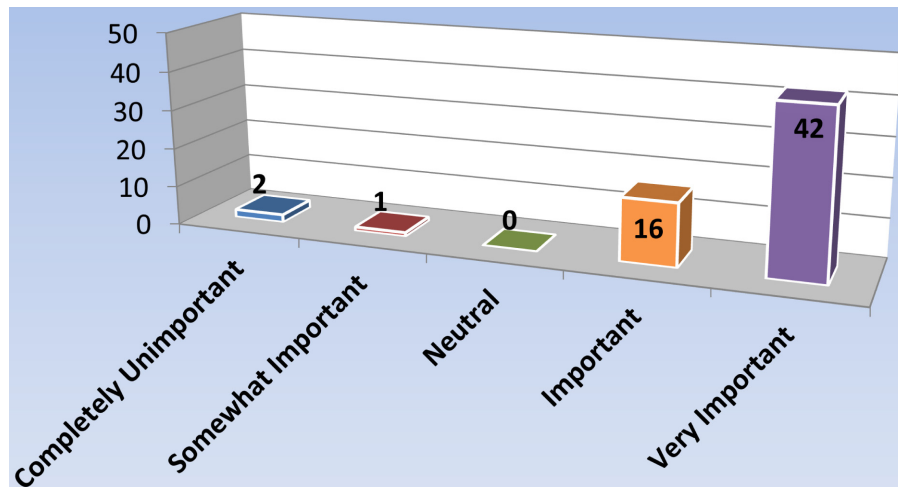
Of the four categories including Etiquette, Professional Behavior, Personal Presentation, and Space -- 80% of the respondents said Professional Behavior was considered the most important (Figure 7).

The respondents' in this survey mirrored the popular supposition that for many, librarianship is a second career. 61.7% of respondents had more than one career while 38.3% moved directly from school to a library career (Figure 8).

The majority of the 64 respondents, felt that etiquette, professional behavior, personal presentation, and how fill and occupy

Figure 5. How important do you feel personal presentation (appearance, externally perceived attitude, and movement) is to maintaining a professional atmosphere?
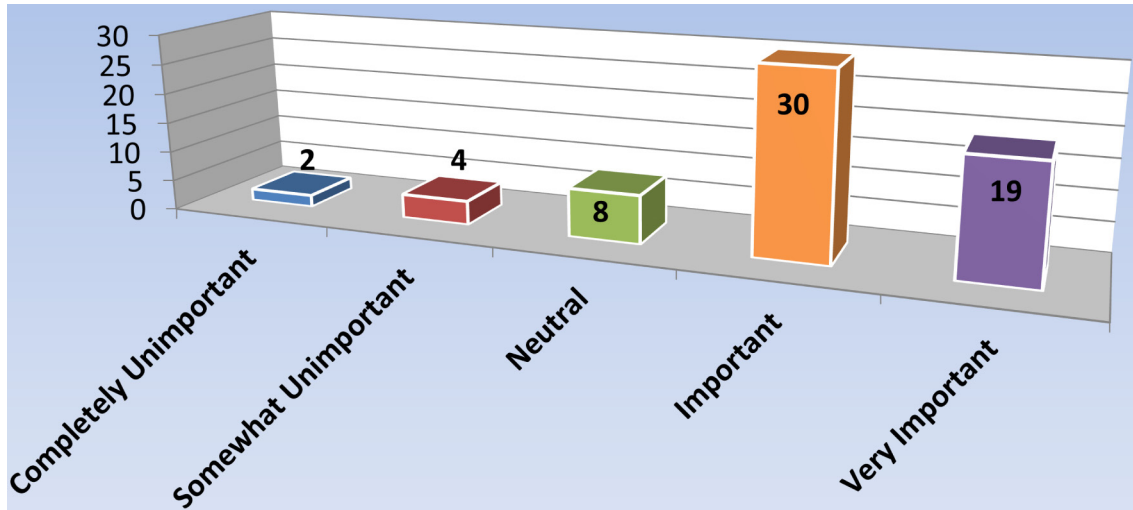
Figure 6. How important do you feel space (how people fill and occupy personal and shared areas) is to maintaining a professional atmosphere?
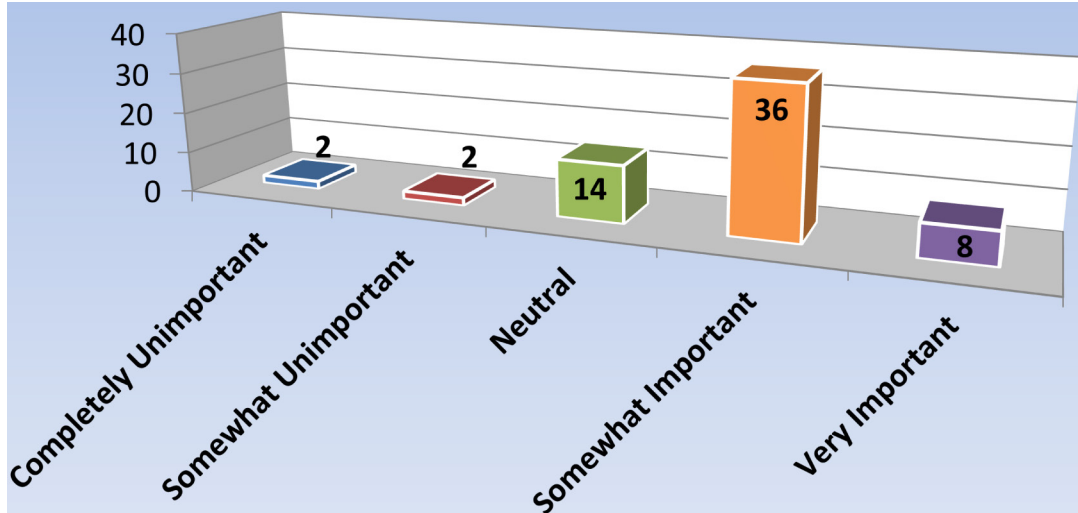
space are significant to maintaining a professional atmosphere. Of the four categories, Professional Behavior was considered the most important aspect. Surprisingly, given that the participant poll was made up of individuals who had previously participated in diversity-oriented professional development programs, 31% of respondents were neutral or considered it unimportant how one occupies space. Overall, respondents were in agreement

Figure 7. What do you consider the most important?
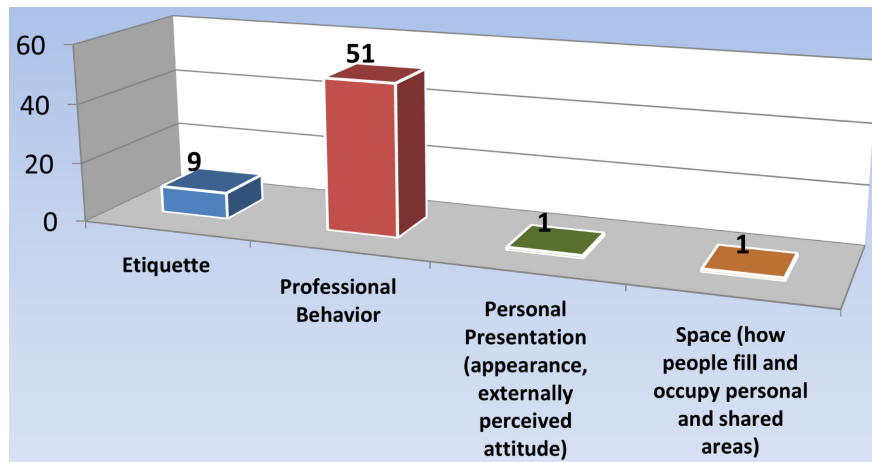
Figure 8. What best describes your work history before beginning to work in a library?
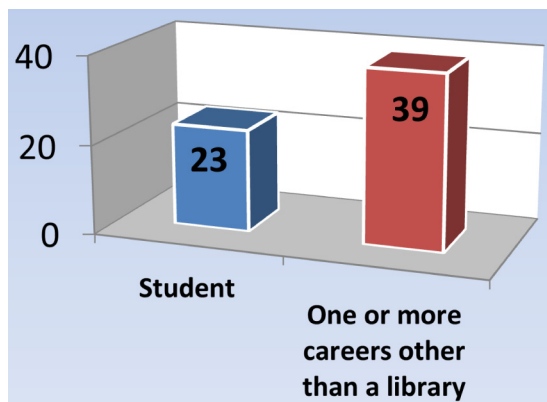
about what constitutes professional behavior both in terms of age, career stage, and geographic location.

Solutions and Recommendations

Defining of professionalism as a behavior, and not dependent on ever changing tasks, provides libraries with the flexibility to grow as their role in society changes (Noordegraaf, 2007). DeWeese's 1970s research on academic librarians, with thirty-nine participants, indicated

that increases in age, perceived ability to find alternative work, and marriage correlated with less concern about the status of the profession as viewed by those outside the library (1972).

When looking to create a more professional environment people prefer to engage in activities relevant to their jobs that positively reinforce professional behavior, not being lectured (Humphrey, Smith, Reddy, Scott, Madara, & Arora, 2007; Polk-Lepson Research Group, 2009). In order to offer job relevant activities different departments within the same organization may choose to create their own series of workshops. By presenting a series of case studies focused on potential job situations employees would be able to interact with each other and come to an agreement about what would be the most professional way in which to handle a given situation. Assessing case studies provides a low-risk environment in which individuals can gain contextual experience (Fook, Ryan, & Hawkins, 2000). Once the group has established what is and is not considered a professional response to

a situation it is important that all members of the group should be held to the same standard of professionalism regardless of rank or title (DuPree, Anderson, McEvory, & Brodman, 2011). Having the same standards for librarians and staff is part of creating an equitable and positive working environment that will retain employees during changes in leadership and create an environment that will attract the best candidates. At the same time libraries should be cautious of creating a strict list of rules that must be adhered to that may not be flexible enough to address every situation, and which may inhibit creative solutions to complex problems (Fook et al., 2000; Rossiter, 1995). Alternatively, library employees could use the critical incident technique as a learning tool in a personal development or workshop setting (Fook et al., 2000). Fook, Ryan and Hawkins described the critical incident technique in the following manner:

In broad process terms, the use of critical incidents in educating professionals, as we have developed in our practice involves:

- *The identification of an incident from the student's experience which was critical to the student...*
- *A detailed description of that incident...*
- *A subsequent analysis of that incident...*

From our experience, the choice of incident, and the way in which the description and analysis is conducted will vary according to the following:

- *The purpose of the learning...*
- *The setting...* (2000, pp. 226-229).

Websites such as GlassDoor.com and LinkedIn.com demonstrate the interconnectivity of information about an individual's work history, and previous and current employers, which is available to potential future employers. This is interconnectivity is also reflected by the desire of individuals to learn about an institution and its culture before accepting a job offer, or in some cases before applying for a job. As one interviewee of Fook, Ryan and Hawkins notes, identification with an institution makes job candidates feel that "I was in the right place" (2000, p. 125). Establishing professional protocols would enable libraries to more concisely articulate their values. These values could then be used as part of internal leadership training, and as selection criteria in the succession planning process.

Due to the small sample size, future studies could expand and build upon this research, in order to determine whether the results are relevant to a larger and more diverse community. While the survey method was selected for this study to preserve anonymity, further research would benefit from the use of focus groups and interviews to stimulate more nuanced information about respondents views on professional protocols in relationship to professionalism.

CONCLUSION

Looking beyond the needs of a single organization, to the needs of librarianship, it is clear that maintaining professional protocols, are an important aspect of succession planning. To a certain extent, this study indicates that the ongoing debate of whether librarianship is a profession has been answered with a resounding "yes it is a profession" in addition to identifying Professional Behavior as the most important category (Abbott, 1988; De-Weese, 1972; Harris, 1993; Plummer, 1903; Potter, 2010). Professional protocols can be included in the competencies defined by an organization's succession plan in order to increase retention, and benefiting librarianship as a whole (Dinger, Thatcher, Stepina, & Craig, 2012; Rothwell, 2005; Singer & Griffith, 2010).

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KEY TERMS AND DEFINITIONS

Etiquette: The unwritten rules of polite behavior in society or a specific workplace.

Perceived Affect: How others emotionally view an individual's actions in a positive or negative light.

Personal Presentation: The appearance, perceived affect, and how individuals move.

Personal Space: The amount of unoccupied physical space an individual needs around them in order to feel comfortable.

Professionalism: Obeys the unwritten rules of society, interacts in an emotionally aware manner, presents themselves physically, and occupies the space around them.

Professional Behavior: How individuals interact with each other.

Professional Protocols: Guidelines for professional concerning the related areas of etiquette, professional behavior, personal presentation, space, and professionalism.

Shared Space: Space shared by coworkers or that is located in public areas.

APPENDIX

Survey Instrument: Librarianship Professional Protocol Survey

Do you feel that "Librarianship" is a profession?

- Yes
- No

   If you answered yes above, how professional do you feel those who work in libraries are?

- Not applicable. I do not feel "Librarianship" is a profession
- Very Unprofessional
- Unprofessional
- Neutral
- Professional
- Very Professional

   What do you consider the most important?

Table 1. Please use the scale from Completely Unimportant to Very Important to rank the following questions

	Completely Unimportant	Somewhat Unimportant	Neutral	Important	Very Important
How important do you feel etiquette is to maintaining a professional atmosphere?					
How important do you feel professional behavior is to maintaining a professional atmosphere?					
How important do you feel Personal Presentation (appearance, externally perceived attitude, and movement) is to maintaining a professional atmosphere?					
How important do you feel Space (how people fill and occupy personal and shared areas) is to maintaining a professional atmosphere?					

- Etiquette
- Professional Behavior
- Personal Presentation (appearance, externally perceived attitude, and movement)
- Space (how people fill and occupy personal and shared areas)

Please select one answer for each of the following:
Describe your institution:

- College
- University
- ARL Institution

Region you currently reside in:

- Northeast
- Southeast
- Midwest
- West
- Southwest

Indicate your age range:

- 25 or less
- 26-30
- 31-40
- 41-50
- 51-60
- 60+

What best describes your work history before beginning to work in a library?

- Student straight to library employment from high school, college, or graduate school.
- One or more careers in a setting other than a library.

If you would consider participating in a brief follow-up phone interview, please contact:
Kiyomi Deards, kdeards2@unl.edu 402-472-2554
Jolie Graybill, jgraybill3@unl.edu 402-472-4547

Chapter 6
Succession Planning and the Talent Management Toolbox

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ABSTRACT

This chapter defines succession planning as a key component of talent management and explains its relevance for academic libraries. With a combination of unique human capital challenges and the current higher education environment, academic libraries are now facing risks that require special considerations as they plan for the future. In this chapter, the authors define talent management and succession planning and review the major models that are currently in use. They then discuss the "decision-science" framework, which they propose is best suited for addressing future talent needs in academic libraries. Such elements as resources and processes, organization and talent, and sustainable strategic success are highlighted as avenues to linking overall decisions around impact, effectiveness, and efficiency. The final aspect of the chapter includes techniques for developing the talent pipeline, identifying "pivotal" positions, and developing strategies and practices. Assessing progress against talent management goals, including identifying specific metrics, is also outlined.

INTRODUCTION

Those involved with managing a workforce have been increasingly hearing not just about succession planning, workforce planning, strategic human capital, talent management, and other phrases that involve human resources, but their increasing importance. Such strategies comprise a key aspect of any organization's competitive advantage, so must be included in the organization's human resource (HR) portfolio. What does this all mean in an academic setting? Or, what does it actually mean, at all?

The goal of this chapter is to define talent management, its relevance for academic libraries, and to provide a framework for managing talent in order to improve succession planning outcomes. The combination of unique human capital challenges and the current higher education environment present risks that require special considerations. Academic libraries often face resource constraints, including understaffing, cultural challenges, lack of competitive salaries and advancement opportunities, and lack of support from the enterprise. Higher education is increasingly under scrutiny about costs, value, and how it stacks up against emerging alternatives such as for-profit institutions, distance education and MOOC's (massive open online courses).

With an abundance of open content on the Internet (including free articles and books, data, and even lectures) difficult questions are being asked about why anyone would attend college at all. This is especially true as concern grows about rising student debt, which was reported to outpace credit card

debt in 2012 (Martin & Lieber, 2012). The past several years of deep economic recession and the resulting high unemployment are causing legislators, the media and members of the general public to question the meaning of "gainful employment." This is especially true as unemployment rates even among college graduates has been so high as to call into question the value of a degree.

These competitive forces in higher education mean that libraries must be prepared to embrace the challenges of today and invest in talent in order to remain competitive and relevant.

WHY TALENT MATTERS

In their book *The Talent-Powered Organization*, Cheese and his co-authors (2008) note that "talent has become the single most important force for creating strategic value for your organization." This represents a huge paradigm shift of the past 30 years. Formerly, in an industrial economy, the value lay in physical assets; today these matter much less; it is the people, knowledge and systems that make a greater impact on the success of an organization--"talent and brainpower are now the predominant currency."

In response to the need to develop talent within the academic library, some have undertaken succession planning programs in order to alleviate future staffing concerns and provide continuity of operations and development opportunities for "high-potential" employees. Hiring internally is seen as cheaper, faster, and less disruptive to operations. For libraries, there is concern that without succession

planning, the profession itself will die out as administrations replace library leaders with others from the academy due to a dearth in ready successors (Galbraith et al., 2011). The danger is in seeing succession planning as the only tool in the talent management toolbox, and applying it to situations that would benefit from another approach.

The elements of a good succession plan require that an organization project future needs for leaders, assess which "high-potential" employees would most likely be successful, and provide development opportunities so that those employees can acquire the core competencies identified for those leadership positions (Huang, 2001). But research from the business world shows that many organizations are not getting the desired outcomes (AMA Enterprise, 2011). And hence many organizations are losing talent--and valuable opportunities--as a result.

Research in the area of succession planning points to some hurdles: programs are viewed as unpopular, inequitable, ineffective, or ambiguous. Other issues with succession planning are also frequently mentioned. Barnett and Davis (2008) note that many such programs are "replacement oriented" with a lack of strategic thinking that focuses solely on identifying successors with no thought to the future leadership needs of the organization. An additional criticism is that many succession plans tend to be "anchored in the past" by using outdated competencies (Barnett & Davis, 2008). This points to the need for succession plans to be anchored in current organizational strategy, so that they are built

on competencies related to future needs and changing organizational conditions.

Many scholars and practitioners also criticize the use of poorly defined concepts of "potential, " that is, the ability for an individual to transition to the next level in an organization where new or different skills may be required (Barnett & Davis, 2009). The idea of readiness is important but often overlooked; for this reason, multiple assessment tools should be employed to make sure key individuals are prepared to take that next step forward. Successors who are not evaluated for readiness, and who are unprepared to move into a new position are not only "set up to fail," but the whole planning process can be called into question.

Additionally, succession planning is often perceived as "unfair and political" (AMA Enterprise, 2011; Barnett & Davis, 2008; Cespedes & Galford, 2004). Without a transparent selection process and clear selection criteria, the process can create resentment and demoralize the organization.

Finally, research in academic libraries shows that succession planning is not integrated with strategic planning, both from the perspective of not making it a strategic priority and by the preference of hiring external candidates to bring new ideas and fresh strategy into the organization, suggesting that current strategies are not effective for preparing the organization for the future (Galbraith, 2011).

So what should a library do? How do you know if you need a succession plan? How do you know what positions to plan for? What are the alternatives? How do you even know if you are asking the right questions? And

once you've decided to undertake a succession plan, how do you get buy-in from the wider organization? We propose that libraries consider a different model, one that provides a framework for answering these questions and more closely aligns organizational strategy with talent decisions for the future.

DEFINING TALENT MANAGEMENT AND ITS RELATION TO SUCCESSION PLANNING

The concept of talent management is very complicated to define. Lewis and Heckman (2006) submit that there is a "disturbing lack of clarity regarding the definition, scope, and overall goals of talent management," and go on to describe three separate concept areas in the literature regarding talent management. The first area describes traditional HR practices of recruitment, retention, development and succession planning as talent management, just done in new ways – like utilizing technology or employing these practices enterprise-wide. A second talent management area is based on the idea of talent pools and the processes that create sufficient movement of people into necessary jobs – this is the core of succession planning literature (although it is often conflated with the idea of overall talent management). The third area deals with talent as a resource or input into the business, to be managed to the advantage of the organization. This is done either through encouraging high performance and/or recognizing high-value talent (for the business) in the current market.

Talent management, as put forth by Boudreau and Ramstead in *Beyond HR*, is a system that provides the logic that organizations need to connect talent and the organization with strategic success. Boudreau and Ramstead introduce the concept of "talentship" as an emerging decision science that can help organizations plan strategically for talent. Much like finance or marketing, which emerged from the accounting profession and the advertising profession respectively, talentship is emerging from the HR function as organizations wrestle with making decisions about people that will have lasting positive results. Since talentship is in its infancy, however, they make the point that while organizations make decisions on financial or marketing principles that are firmly grounded in the science of these models, by people trained in the principles of these sciences, talent decisions are often made by supervisors, sometimes with guidance by HR, sometimes not, with no real strategic thinking behind them.

If the essence of a talent management strategy is to connect the individual to the achievement of strategic success, then a decision framework should be able to guide even the most unaided supervisor through a process that asks all the right questions, and Boudreau and Ramstead have provided just this. For instance, a talent management strategy identifies the right positions, not necessarily specific people, either existing or potential, that will have the greatest impact on the challenges faced by competitive forces. This may not be the top position(s), but rather is determined by what is pivotal to the organization reaching its goals (Boudreau & Ramstead, 2007). Once the positions are determined, people are developed or recruited

who can both respond to the strategic goals (not just a leadership vacancy), and help to shape them in the future in order to achieve competitive advantage. Talent management is really concerned with the decisions that lead to strategic organizational performance.

When looking at what talent strategies will lead to strategic success, there are many tools in the toolbox. For instance, if a library determined that its competitive advantage lay in developing robust distance education services that upheld its values of strong research, information literacy, and excellent customer service, it would then develop a talent strategy that would allow this organizational goal to succeed. In developing its talent strategy, it would look at all of the potential tools – organizational structure, competencies needed, recruitment, selection, development, succession, retention, and compensation to determine what mix would be needed to establish the distance education services it is envisioning. Once the program is established, the talent strategy would need to be adjusted so that the library can continue to maintain its strategic success and competitive advantage. Another example would be if a library determined that its competitive advantage lay in its unique and rare collections that are of interest to researchers. This library might be investing in digitization, research services, preservation, and marketing as strategies for their success, and would develop its talent strategy around those key components. One aspect of their talent strategy might be developing people with deep knowledge of their collections, and ensuring continuity of this knowledge over time.

As you can see, succession planning is not talent management in and of itself, but rather is one of the important tools in the talent management toolbox, and would be used when business continuity, knowledge transfer, and/or leadership development would be pivotal to strategic success. Using talent management will tell you when to use succession planning or when another strategy would better serve the organization. Knowing what tool to use and when is key, as organizational performance, and the articulation of value, is what will enable libraries to compete and remain viable in the future.

We posit that organizations are often dealing with talent issues by considering only one part of the logic chain. Let's say an organization believes it has a problem with conflict. Often conflict training is offered as the solution and the organization brings someone in to conduct it. In only looking at the problem with the lens of "what programs must we implement," big chunks of the puzzle around conflict are missed, and many find that training does not in fact fix their problem. Similarly, if a senior librarian is about to retire, libraries may conclude that replacing her with someone with like skills will ensure continuity and smooth operations. Without looking at it more holistically, it may be missed that there are more pivotal skill sets that need to be developed elsewhere for the library to maintain viability, and that human capital shift would be preferable to just ensuring continuity of an existing operation.

TALENT MANAGEMENT IN THE ACADEMIC LIBRARY: MORE IMPORTANT NOW THAN EVER

With few exceptions, there is little literature available on talent management or succession planning in academic libraries or academia, and information suggests that this type of planning has not been widely adopted in any part of the academy (although many library leaders acknowledge the importance of such plans, Galbraith et al., 2011). Likewise, there is a dearth of information available for how such planning should be achieved; Singer and Griffith (2010) wrote a detailed guide to succession planning for libraries that includes valuable information, but it is not geared toward the unique challenges of the academic setting. However, we know from the business literature (Bethke-Langenegger, 2011) that strategic talent management is critical to a company's success, and has a known impact on financial, organizational, and personnel outcomes. Factors such as a rapidly changing business and economic environment, coupled with increased competition, drive the business and (to a lesser degree) non-profit sectors to pursue talent planning models. Some factors that make talent management so critical in academia today are increased competition for students and funding, questions about the "value" of higher education and its costs, the effect of technology and the digital revolution, and the recognition that how talent interacts with strategy cannot be left to chance.

Michael Porter, in his seminal work *On Competition* (2008), discusses what he calls the "five forces" of competition for businesses, including the threat of new entrants, rivalry among existing competitors, the threat of substitute products or services, the bargaining power of suppliers, and the bargaining power of buyers. All of these have applicability for higher education today. For example, college and university administrators know that they are competing for students and funding with other institutions, but the idea of analyzing the competition the way the business world does not seem prevalent, perhaps because there is still resistance in academia to becoming "business-like" and somehow losing hold of the academic ideal, with its open exchange of ideas and promotion of knowledge for its own sake. Nevertheless, there is no doubt that students and their parents are actively recruited with ever more elaborate tours and programming, research dollars are hotly pursued, and costs are increasingly examined for any fat that can be trimmed.

If we look at higher education using the five forces described by Martinez and Wolverton (2009), we can see that there is increasing competitive pressure in all areas. New entrants, and the threat of new entrants, affect prices and costs, and the rate of investment necessary to compete (Porter, 2008). There are several new entrants to higher education, and some new forms of delivery by existing players. For instance, the entrance and growth of the for-profit institution has rapidly changed the higher education landscape, with existing institutions looking to increase their distance and online education offerings. Market share of students is decreasing for traditional institutions in the context of a poor economy, reducing available tuition dollars, while raising the need for investment in

new programs and services. The impact for libraries is that distance and online education requires new support and service structures, and even organizational structures and work cultures that must adapt quickly to meet the changing needs -- something libraries often struggle with.

This is not even accounting for the competition at the library level as the so-called digital revolution continues to transform the very nature of scholarship. With online collections growing, and access made easier with ever more sophisticated search engines, academicians are no longer the captive audiences they once were (Ross & Sennesey, 2008). Libraries, as a microcosm of higher education, have fewer resources and increasing need for innovation and investment.

Substitute products and services can also reduce profits in an industry by bringing prices down. If the substitute is cheaper and achieves the same or acceptable end, the value of the substitute goes up. For instance an online tutorial to explain how to do a catalog search can be utilized by many more people than an in-person instruction session, with fewer human resource hours expended for a potentially greater reach of service. Therefore, why would an institution hire someone just to teach people how to do catalog searches multiple times, when they could create an online tutorial once? Likewise, why would a student invest in a four-plus year, residential education when they could get a similar outcome (a degree) in three years online or at times and locations that are convenient to

them (evening/weekend programs, or blended courses) and earn income at the same time? Martinez and Wolverton define substitutes as affecting the convenience, time and the application of a product or service. As students increasingly see higher education as a path to employment, rather than enrichment, the products and services that appeal to this need will become more competitive, including corporate universities and training/certificate programs. The institution that can provide the best value - the best combination of convenience, time, application, cost, and reputation will set the industry standard and all other institutions will have to fall in line.

According to Porter, rivalry is defined by both intensity of competition between rivals and the basis on which they compete. Rivalry among higher education institutions is fierce, with two year, four year, private, for-profit, professional, and specialized programs all trying to carve out a slice of the student market. Institutions offer alternate methods of delivery (online, evening/weekend), reputation, facilities, history, location, and other differentiators in order to win students and parents. Rival institutions are also competing with each other for research dollars and other funding sources. Libraries do not often think of themselves as rivals with anyone, but they compete for convenience and perceived value with online search engines, and in the open access arena will increasingly find themselves competing with publishers and suppliers of content for audience.

A SUCCESSION PLANNING FRAMEWORK FOR YOUR LIBRARY

As we have discussed, the whole talent management framework concept hinges on organizational strategy and mission – that which will enable the organization to stay viable and succeed. Without this focus, an integrated approach to strategic planning and talent is elusive and missteps and missed opportunities may occur. The framework (Figure 1) brings logic to the chaos and helps an organization know how to proceed.

Establish (or Reaffirm) the Organizational Strategy and Determine Its Effectiveness

Step one in developing a talent management strategy for succession planning purposes is clarifying your organizational strategy. This can be done with the five forces of competition analysis, SWOT analysis, or other tool to determine what is in the environment that merits attention, and will provide unique value to constituents. Boudreau and Ramstead (2007) call this stage Impact, as it deals with the impact the organization makes to its constituents. It consists of two elements – "sustainable strategic success" and "resources and processes." Considerations in this step would be the unique competitive position (or value) the library wants to achieve and how it will differentiate itself from the other options out there, the processes and actions performed in the execution of strategy, and where value can be added to those processes (value chain analysis). Consideration will also need to be given to what assets will be needed and any constraints on resources or processes that need to be resolved.

Figure 1.
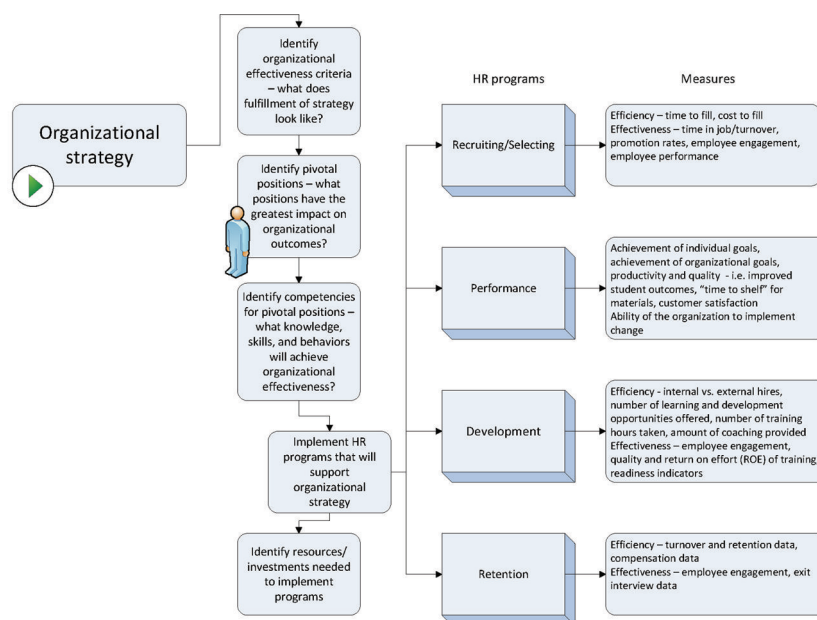
The next step would be to look at how effectively the organization is carrying out its strategy. What does fulfillment of the library's strategy look like? Is the organization structured in such a way so that processes can be accomplished? Are more people needed? Where would that have the greatest effect? Are the people qualified to accomplish the strategic goals? For example, this step can help you decide if you need to restructure the organization when you have a leadership vacancy, in order to accomplish strategy, or if continuity of current operations through succession planning would better achieve the strategy.

Identify the Key Positions in Your Organization

Next in this process is the identification of positions that will make true difference to the organization and the attainment of its organizational goals. Boudreau and Ramstead (2007) define the concept of the "pivotal" position; they differentiate between high average value (it is important, but a small change will not change organizational outcomes that much) and high marginal value (it is pivotal, that is, a small change will dramatically affect organizational outcome, either positively or negatively). This approach differs from those of other talent management models that focus on talented individuals and their development and deployment (Lewis & Heckman, 2006). Instead, with close analysis of the organization's strategic goals, the systematic identification of key positions will ultimately contribute to the library's competitive advantage (Collings & Mellahi, 2009). Pivotal posi-

tions, incidentally, are not always senior jobs (although they might be); the key is to make sure they are tied to the long-term strategic plan of the organization.

One thing to keep in mind is the difficulty of determining strategic positions from the non-strategic ones; it makes little sense from a resource perspective to spend a lot of time and energy on the less strategic positions (see Huselid & Becker, 2006 for more on this). With that in mind, consider what positions in your library are pivotal to the success of your strategy. Identifying these can be accomplished by addressing the following questions:

1. What is your strategy? What differentiates you from your competition (i.e. convenience, reputation, facilities, collections, personalized help, time savings, better student outcomes)?

2. What MOST affects the achievement of that strategy? For example, assessment data at American University Library indicate that direct contact with students via instruction in college writing class most affects student outcomes through positive interactions with librarians (Borchard, unpublished data). Thus, if students don't have a librarian come to class, they are uninformed about library services or databases, making library instruction integral to achieving the strategy of making the students more successful. Likewise, if a library determines that its biggest impact is through its very large collection, then the collection managers who have relationships with the academic community and can

buy the best, most relevant, most unique resources will have the most pivotal effect on the organizational outcomes.

3. What positions have the most impact on the achievement of the strategy? Consider the following: if what makes you special is that you offer the most personalized research help on campus, and you do that through librarians in every classroom and individual appointments, then the most pivotal positions to making that strategy work are the reference librarians. Likewise, if what makes you special is that you have the longest opening hours on campus, then your night supervisor will be a pivotal position. Or, if what makes you special is that you have the faculty research center, the student writing center, tutors, specialized software, and research help all in one convenient location, then the leadership responsible for coordinating all those services might be the most pivotal position.

Identify the Competencies for the Key Positions

The next important step is to identify the competencies for these pivotal positions. Competencies is another one of those terms that gets tossed around with little context, and is defined in a variety of ways. Its origins are similarly varied. David McClelland used the term in 1973 to differentiate "personality variables" from intelligence testing in the educational and workplace contexts. In the organizational world, it was originally proposed as a term to describe the collective learning in an organization that gave it its

competitive advantage (Hamel & Prahalad, 1990). It has come to mean the knowledge, skills, and behaviors at the individual or positional level that make the individual successful in that job, or meet the organization's needs in that position. For pivotal positions, the library needs to consider what knowledge, skills, and behaviors will enable the people in those positions to be effective in carrying out organizational strategy.

Identify How You Will Deploy Your HR Programs in Your Talent Strategy

After the identification of pivotal positions and competencies needed, then the library would need to look at the management systems and HR programs in the toolbox, and how they will need to align in the talent management strategy. Systems and HR programs that could be considered might include strategic planning, budgeting, operations management, recruitment, selection, performance management, professional development, succession planning, retention, and compensation, and the sequencing and integration of these into planning to achieve full alignment.

First in your HR toolbox is the recruiting and selection of individuals. In order to recruit – i.e. attract the right candidate pool – a library must know the organizational strategy, the pivotal vs. the important, and the competencies it needs in order to select the candidates who have the highest likelihood of performance that will enable strategic success. Libraries tend to have a good amount of control over their recruitment and selection processes. Good recruiting strategies are not just about advertising vacancies and working

to fill them, but also involve having current and well-written job descriptions, determining what is appealing about your organization to potential hires, and then marketing it, using a competitive analysis approach. So while libraries may not be offering top salaries, attracting people is not all about pay. What makes you special and different from your hiring competition? If you can offer development opportunities, a nice place to work, tuition remission, community outreach, even a university wellness program, then use those as a strategy to "sell" your organization to your potential talent. Another strategy is to recruit internally; your student assistants may be an excellent source of entry-level talent, and if it fits with your university's policy, you may want to encourage top students to apply to full-time openings. You can also partner with your HR department to advertise openings on library-specific job boards, not just generally on the university job board. If you have the luxury of an extra position or two, you might think about utilizing them as "talent entry" positions; a way to take advantage of the availability of a talented person and get them into, or higher up in, the organization. Some businesses rotate people through these "special project" positions every one to two years and then move people up so that others can be given these stretch opportunities. Finally, all good recruiting is grounded in employment law fundamentals and good Equal Opportunity Employment (EEO) practices.

Good selection strategies include utilizing an evidence-based interviewing process, such as structured interviewing, to ensure that the interview elicits the information

needed to make a good choice and is not based on someone's "gut;" using the position competencies as the criteria for selection; and checking references, specifically asking about the position competencies. Measures to consider in recruitment and selection are things like "time to fill," or how long it takes to fill a vacancy, cost to fill, or how much money it takes to fill each vacancy, both of which measure the efficiency of the process. To measure the effectiveness of recruitment and selection, you need to look at things like turnover timeframes – how long does a newly hired person stay overall, how long do they stay in the job (may depend on the level of the job), promotion rates, how engaged they are, and how well they perform.

Next in your HR toolbox is the management of individual performance. The prevailing theory about performance states that performance is a function of individual ability, motivation, and opportunity, $(P=f(A,M,O))$ (Collings & Mellani, 2009), all of which mediate between HR practices and organizational performance. The article by Collings further posits that additional mediators are organizational commitment and "extra-role performance" or tasks that people take on for the organization because they want to. Individual performance contributes to collective performance, and both are influenced by culture. Asking how culture and performance help or hinder your ability to achieve your strategic goals is difficult, but important. The literature suggests that maximizing individual ability and opportunities, and fostering motivation and commitment will improve both individual and collective performance.

Research also shows that connecting individual goal setting and performance to the organizational goals improves both individual and organizational performance (Boudreau & Lawler, 2012). A performance management system should then be focused on setting individual goals oriented toward increasing ability, providing opportunities to improve one's performance with relation to organizational goals, and motivating individuals to achieve individual goals. It should measure the effectiveness of both individual performance and the collective performance. Measures to consider in performance would be to look at whether individuals are achieving their individual goals, whether the organization is achieving its strategic goals, productivity and quality measures, such as improved student outcomes, "time to shelf" for materials, or customer satisfaction, and the ability of the organization to implement change.

Libraries have varying amounts of control over their organizational goal setting, but typically are able to set their own goals. They likely retain control over their individual performance goal setting, but may have mandates on the type of performance management systems used. For instance a traditional faculty system would manage performance based on scholarship, service, and primary duties, and while these are linked to primary functions of the academy, they may not be tied specifically to the library goals. Many universities have a staff performance and compensation structure that is enterprise-wide, which staff are required to use. While this is not inherently bad, it just means that libraries must work hard to ensure that individual performance planning is linked to organizational strategic planning, and not to goals that someone may want to pursue but which do not enhance the organization.

A third major tool in your toolbox is individual development - this is what most people talk about when they discuss talent pipelines in succession planning. It can be further divided into general development and leadership development. General development would be developing people for a particular business-needs purpose, up to and including the creation of a culture of development that provides all with opportunities. Leadership development is usually the targeted development of "high-potentials" so that you have a "pipeline" of individuals with the necessary competencies and experiences to step into leadership roles should they become open. How do you know what to choose? Ask the questions: What competencies will be essential to our organizational success in the next five years? Do we have them? Where? Who needs to develop? Everyone or a few people (maybe based on what the skill gap is)? Will we recruit or develop from within?

Good development strategies include coaching and/or mentoring, training and professional development opportunities, stretch assignments such as the opportunity to be a project leader or take on a management assignment, opportunities to serve on high-level committees that provide exposure to senior administrators and valuable contacts, and opportunities to make presentations to key audiences. Metrics to consider with development are employee engagement, the number of internal promotions vs. external hires (measures the effectiveness of your development efforts, i.e. can you fill positions with the people you have?), the number and quality of your learning and development

opportunities, the number of training hours taken, the amount and quality of coaching provided, and indicators of readiness, which would look at how an individual compares to the competencies needed for a pivotal job. Measuring readiness, while crucial to the succession planning process, can be difficult in the academic world, as it is looking at how someone compares to competencies that link to overall organizational success, is often a multi-rater process, and may hold people accountable for things like interpersonal skills, when they've traditionally been rated on scholarship. When readiness indicators are being used as part of a development or succession planning process, participants must be fully aware that they will receive this kind of feedback, and be prepared to hear that their supervisors and colleagues think they are not ready to handle a higher-level position.

Some libraries will have more access to opportunities, and training budgets, than others. Development does not have to be all about sending people to training however, but can be as simple as brown bags that encourage people to share expertise, or encouraging senior managers to actively develop excellent employees and provide them with challenging assignments and introductions to important people.

The fourth major tool in your HR toolbox is the retention of individuals -- this is about keeping those high-performing, well-trained, talented individuals within your organization. Measures around retention encompass turnover and retention statistics for the organization and by individual units, exit interview data, compensation data, and employee engagement data, such as perceptions of being able to do meaningful work or work one excels

at, feeling cared about and/or encouraged to develop by someone at work, being recognized for good work, and so on. (Harter, Schmidt, Killham, & Asplund, 2006).

Retention, as it is typically defined, encompasses compensation and reward/recognition programs; people often think of retention as being about money. Certainly people who are performing well and who are being given development opportunities have come to expect to be compensated for it in our current "pay for performance" culture. But employee engagement studies show that individuals do not stay or leave an organization just because of their pay (Bethe-Langenegger et al., 2011), although pay, and the perception of fair pay for work, is a factor in retention. Rather, retention is a complex interplay of factors such as autonomy, ability to master skills, meaningfulness of work (Pink, 2009), variety, co-worker support, engagement, and yes, a feeling that their commitment to the organization is reciprocated through opportunities for development and advancement (Vance, 2006). Development opportunities may be a way to increase readiness for advancement within the organization, protect the organization's investment in newly trained managers (Cappelli, 2008) and create a sense of engagement with employees, leading to retention. Where this fails is when recruitment and selection for jobs is almost exclusively from external sources, leading internal candidates to feel they can never advance, and when the development opportunities do not, in fact, prepare people for higher level jobs because they are not aligned with organizational planning and needs.

Libraries do not always have much control over their compensation levels, and may

also struggle with how much ability they have to change positions, create new jobs, or restructure to meet strategic challenges and reward high-performers. However, libraries often have more control over their ability to help their members develop, and can provide other key employee engagement factors such as recognition and praise, meaningful work, clear expectations, and a sense of organizational purpose (Harter et al., 2006).

Therefore recruiting, performance, development, and retention must be highly coordinated so that the people who are attracted to work at the organization are the people who are interested in high levels of engagement (looking for meaningful work, variety, autonomy, and co-worker support). Performance goals must be tied to the achievement of organizational goals, and measured consistently and fairly across the organization (not necessarily equally, however). Development must increase knowledge, skills, experience and expertise in ways that benefit the organization. Performance coaching and development must be coordinated so that the person can see a clear tie between setting individual goals that also benefit the organization, their actual performance against those goals, and what they can do to improve their performance and increase their development opportunities. The organization has to reciprocate by ensuring that employees feel recognized for their development through a variety of means such as formal recognition and reward programs, pay and incentives, advancement opportunities, informal recognition by supervisors and co-workers, and inclusion in decision-making (Brun & Dugas, 2011).

After looking at all the tools in the toolbox and deciding where to put talent efforts in order to achieve the desired goals, the final element is to take a look at investments. It is helpful to think of investments in terms of costs and time, potential benefits, and the scope of the program. All libraries have limited budgets, and as they are not revenue generators, the available capital is allocated or donated by those outside of the library itself. Usually about half of the available capital goes toward salaries, with the rest going to operations and collections. Libraries also have limited resources when it comes to time; this may relate to situations of understaffing or uneven productivity levels. Any investments made in talent will require that trade-offs are made elsewhere. A well-run succession planning process will take considerable time to develop, and resources to allow high potentials to have the development and growth opportunities they need. Performance management systems will need to be enhanced, and higher compensation and incentives may need to be part of the overall program. When investing in programs such as succession planning, a library would need to consider where that time will be diverted from, and what other programs or staff will have their budgets reduced. By using a decision framework such as this, an organization can be better prepared to justify those trade-offs and gain buy-in for the investments needed.

CONCLUSION

Like any type of strategic planning, succession planning is time intensive. But because succession planning is one of the more important

tactics available in the overall talent management strategy, we believe that time represents an excellent investment. Because now more than ever, with academic libraries—and institutions of higher education in general—having to justify their value, planning for the future has the potential to have enormous pay-offs. When a smooth transition between leaders or other key positions is needed, employing the proposed framework results in both improved individual outcomes and improved organizational performance. By thinking strategically, the succession planning outcomes for your library should be successfully realized.

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KEY TERMS AND DEFINITIONS

Competencies: Competencies refer to the qualifications that are necessary for individuals to possess to complete their job function successfully. These qualifications are usually thought of in terms of knowledge, skills, and behaviors. Well defined competencies allow for the effective measurement of employee performance and the alignment of performance with business strategies.

Competitive Advantage: Refers to an organization's ability to create a greater economic value from the resources it employs than other organizations in the industry. In general, this means that customers value the products/services of one business or organization over those of another.

Decision Science: This concept centers around mathematical methods and tools for solving problems related to the allocation of resources, which are often scarce and subject to constraints. Decision science frequently utilizes a multitude of approaches and techniques from many other disciplines.

Five Forces of Competition: Developed by Michael Porter of Harvard University in 1979, this theory revolves around the five forces--both internal and external--that shape the competitive strategy of an organization, including corporations, non-profits, governments and so on. The five forces are as follows: the threat of new competition; the threat of substitute products or services; the bargaining power of customers (buyers); the bargaining power of suppliers and the intensity of competitive rivalry.

Stretch Assignments: This concept refers to the assignment of tasks that requires workers to step beyond their areas of expertise and experience in the interest of developing new skill sets. This allows organizations to also assess the potential of its individual workers that may be considered for future leadership positions.

Talent Management: The deliberate and systematic process of anticipating human talent needs to support company success and then formulating a plan to meet those needs. Essentially, this involves identifying the right positions and strategic systems to recruit and/or develop and then retain the right people.

Talent Pipeline: The pipeline is defined as the process by which organizations evaluate internal and external talent pools, determining any gaps between available talent and what may be needed for the future and then creating sound strategies for developing and ultimately acquiring that talent.

Talent Pool: This important human resources concept refers to the skilled individuals who are both suitable and available to be chosen to do a particular type of job.

Chapter 7
Strategic Planning in Special Libraries and Information Centers

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ABSTRACT

The strategic planning process in special libraries and information centers is described, with emphasis given to the importance of planning efforts being tightly aligned with the business goals of the parent organization. Success in executing the strategic plan is strongly dependent on developing and polishing skill sets needed by persons active in the workforce today, while concurrently growing leadership and technical talent to meet future challenges. Following a discussion of general characteristics that distinguish special libraries and information centers from academic and public libraries, key concepts related to the strategic planning process in an organizational context are presented. A case study of the strategic planning efforts at a special library, the Illinois Fire Service Institute Library, University of Illinois at Urbana-Champaign, illustrates the process and benefits gained from following the goals and strategies highlighted in the plan. The authors offer insightful recommendations to those involved in the planning process and suggest future research directions.

INTRODUCTION

Because this chapter focuses on the strategic planning process in special libraries and organizational information centers, some background on special libraries is presented here to set the stage for discussing strategic planning activities.

Special libraries and information centers may be found in a wide range of entities including corporations, private businesses, government agencies, museums, hospitals, not-for-profit organizations, professional associations, and management consulting firms (Porter et al., 1997; Reeve, 2009). There are also specialized, subject-specific collections in academia. Special libraries and information centers, where they exist, are functional units typically tasked with activities such as content identification and licensing, literature searching and analysis, the monitoring of business and market trends, deploying content resources appropriate for specific knowledge worker teams, and advising colleagues on resources and search techniques. Although some of these organizations no longer support a special library or information center, they still employ information professionals who are embedded in other departments. Among other activities, information professionals and special librarians perform in-depth research and analysis, consult on information and knowledge management practices, and actively participate on project teams that contribute to the success of the organization.

The Special Libraries Association (SLA), the international professional association representing thousands of information profes-

sionals, expands the concept of the special librarian to information professionals who "strategically use information in his/her job to advance the mission of the organization." SLA further states that "information professionals include, but are not limited to, librarians, knowledge managers, chief information officers, Web developers, information brokers, and consultants" (SLA, 2001b). In our chapter, we will use both "special librarians" and "information professionals" to cover personnel working in special libraries and information centers or performing in this role.

Special librarians and information center directors strive to justify their existence and make their roles relevant in their parent organizations while facing today's challenges. These include, but are not limited to, the current economic situation, shrinking budgets, transformative technologies, e.g., the World Wide Web, social networking, new business models in the publishing industry, new mechanisms for licensing and accessing digital content, globalization, virtualization, the information explosion, a new world of electronic access to information, changes in the information-seeking and information-use patterns among users, and user demand for all sorts of resources and timely services (Balasubramanian, Rangaswamy, & Kanthimathi, 2006; Matarazzo & Pearlstein, 2011a). All of these developments have fundamentally influenced and altered management and service practices in special libraries and information centers.

Special libraries and information centers are generally different from public and academic libraries in the key areas of sponsor-

ship, subject coverage of the collection, users, services, staff, and size. Special libraries and information centers exist because the sponsoring organizations have recognized the benefits to be realized by supporting this function and the professionals staffing it. Their existence is based solely on their proprietor's discretion. As such, they depend on the decision-making of senior management for funding. They are left in a vulnerable position when senior management decides to make budget cuts or reallocate resources. One of the best strategies for protecting them is to proactively document their value in order to illustrate the ways in which the special library or information center is indispensable to its users within the organization. On the other hand, public and academic libraries are maintained because some important institutional or legal document requires library services (Davis, 2009; AdvancED, 2010).

Special libraries and information centers are expected to offer access to resources on specific subjects in response to the demands of highly specialized users and senior management. The subject scope of public library collections is broad, targeting the public's general and recreational interests. Academic libraries collect original documents, journals, etc. for students, professors, researchers and also for reference service. The size of the collection and/or the number of items borrowed are traditional benchmarks for evaluating the success of public and academic libraries (Davis, 2009; ACRL, 2010). However, such statistics have little significance to senior managers to whom special libraries and information centers report since the value of

special libraries and information centers is not determined by the collection and the number of items loaned or downloaded. Meeting users' in-depth and dynamic information needs and carrying out the goals and special interests of the sponsoring organization are the most important measures for special libraries and information centers. Therefore, priorities set forth in strategic plans must revolve around the needs of users and the overall business priorities of the parent organization. "Saving the time of the user" is a good goal for all libraries (Rubin, 2004), but is absolutely vital in managing special libraries and information centers. It is imperative that special librarians and information professionals give whole-hearted support to their work and the goals of the parent organization. They are required to be fully engaged with the activities and goals of the sponsoring organization.

Today, the state of special libraries and information and knowledge centers varies widely. Some are thriving, some have been closed or downsized, and some have been outsourced. Resource selection, procurement, and management of content agreements are often decentralized. Knowledge workers rely frequently on free Internet resources. Information professionals may be working in the information center, embedded in a business unit, working under contract to an outsourcing firm, or working independently.

The strategic plan is a critical business document for special libraries and information centers—no matter the size or current configuration. It is extremely helpful in sharing the vision for the future of library programs and information services. It effectively aligns

the delivery of excellent information resources and services with the parent organization's vision, mission, goals, and objectives. In addition, skill sets needed to achieve the goals identified in the plan become clear—making the strategic plan a useful tool for recruiting, staff development, and succession planning.

The most brilliant strategic plan depends on engaged, competent employees in all roles for effective implementation. As Pat Hawthorne suggests, "managerial succession planning management not only seeks the right people in the right place at the right time for the right job but wants them to achieve the right objectives for the organization." She further observes that the "right objectives are strategic ones" (Hawthorne, 2011).

This next part of this chapter focuses on:

- The history of strategic planning in special libraries and information centers
- The strategic planning and the strategic planning process
- The components of a typical strategic plan

BACKGROUND

Strategic planning in special libraries and information centers is not a new business practice, but it is assuming increased visibility and importance. Following a brief summary of its history, we delve into different approaches to strategic planning and then discuss how the plan can be used effectively.

History of Strategic Planning in Special Libraries and Information Centers

Strategic planning in the library community began in the late 1960s. Increased use of planning techniques continued in the 1970s up to the present time. One key reason for increased attention to planning is to document the need for resources to the parent organizations and funding agencies. These planning activities also serve to demonstrate that libraries can budget for and manage resources effectively. Organizations encouraging the use of strategic planning activities as a tool for library administrators include federal agencies, state libraries, professional library associations, and library networks (Jacob, 1990). Strategic planning is at the core of contemporary library management and is one of the most important responsibilities for library directors (McClamroch, Byrd, & Sowell, 2001). There is a growing body of scholarly and professional literature on strategic planning in libraries (e.g., Himmel & Wilson, 1998; Evans & Ward, 2007; Heather, 1994; Hughes & Beatty, 2005; Kassel & JoAnne, 2001; Ladwig, 2005; Pacios, 2004; Stueart & Moran, 2007). Unfortunately, little scholarly literature is found on strategic planning in special libraries and information centers. Few sample strategic plans for special libraries or information centers are publicly available, likely because many of the organizations embracing and funding special libraries and information centers view their information

management strategy as a component of their competitive advantage in the marketplace.

For at least the past decade, special libraries and information centers have been keenly aware of the need for effective strategic planning. To remain viable, special library and information center directors employed by companies, law firms, associations, government agencies, and other businesses have increasingly focused on aligning their priorities and strategies with the business goals of the parent organization. Depending on the sponsoring organization, strategic planning may need to include plans for global business sites, electronic resources, special librarians and information professionals embedded in programs and projects, and different staff reporting structures.

Strategic Planning and the Strategic Planning Process

What is strategic planning? The late Peter Drucker, renowned management consultant, offers a concise framework for developing a strategic plan that is appropriate to any business or functional area. He notes that analysis of the business environment during the strategic planning process requires the application of thought, analysis, imagination, and judgment to answer three fundamental questions:

- What is our business today?
- What should it be?
- How will we get there—to the desired future state? (Drucker, 1973)

"Long-range planning does not deal with future decisions. It deals with the futurity of present decisions. What we have to do today is to be ready for an uncertain tomorrow" (Drucker, 1999).

Director Richard Jaehne, Illinois Fire Service Institute (IFSI), University of Illinois at Urbana-Champaign describes strategic planning as the visionary leadership that is needed to define the goal and "the red dot" or the desired state of the long-term organizational goals that are currently beyond people's grasp (Jaehne, 2012). Jaehne also notes that strategic planning is analysis or study of the organization in order to identify the organization's strengths and weaknesses, develop priorities within the framework of the organization's physical and financial capabilities, and identify new s-curve (exponential growth) and growth areas, defining "who you are" (Jaehne, 2012). The vision development stage is a process, not a paper product; it will develop a homogenous direction – define the "red dot" (the organization's overarching goal) and the organization's "center(s) of gravity" (Jaehne, 2012). During the analysis phase, Jaehne recommends that leaders revisit and answer the following questions:

- Who are we?
- What do we do?
- What is the nature of the organization?
- Who are our customers?
- What do they need?
- What aspects of what we do meets their needs?

These are six fundamental questions that must be answered. They set the overall strategic directions for the organization. Then, the following five questions will help the organization specifically define what it wants to do and how its library and information center fits into the organization's overall strategic goals:

- What resources are required to meet all of their needs?
- Where are we/they going (to arrive at the vision, strategic issues, and goals)?
- Where are we now (reflecting on organization performance and needs)?
- How will we get there (to be incorporated into major strategies and directions)?
- How will we know when we've arrived (defining measures of success, objectives and evaluation)? (Jaehne, 2012)

Others view strategic planning as management processes in organizations through which the future impact of change is determined (Balasubramanian, Rangaswamy, & Kanthimathi, 2006). Stated yet another way: strategic planning is "the process of getting an organization from where it is to where it wants to be in a given period of time by setting it on a predetermined course of action" (Stueart & Moran, 2007, p. 9). It involves the process of defining a vision, mission, and goals with strategies and tactics. After the organization's mission, vision, and values have been articulated, some researchers argue that strategic planning is a natural and necessary activity for an organization to pursue its future. It is an administrative process for envisioning the future; it involves developing procedures and

operations to achieve that future (Goodstein, Nolan, & Pfeiffer, 1993).

Before describing the typical components of a strategic plan, we wish to clarify that there are differences between strategic thinking and day-to-day operational thinking (Bolt & Stephan, 1998). Strategic thinking and planning are long-range; depending on the institution, this "range" can be as short as three years and as long as five to ten years, so we are dealing with uncertainty and unknown variables. Table 1, shown below, sees strategic thinking as looking toward the blue sky while operational thinking focuses on the green ground. It is strategic thinking that is required in the strategic planning process.

Components of a Typical Strategic Plan

There is no single standard format for a strategic plan; for this document, form should follow function and the person responsible for finalizing the plan must make decisions about how the plan will be used as well as how it will gain

Table 1. Strategic thinking vs. operational thinking

Strategic Thinking	Operational Thinking
Long term	Short term
Alignment	Execution
Imaginative	Precise
Critical thinking	Logical action
Anticipating emerging directions	Meeting current demands
Identifying new areas	Maintaining daily operations
Impact-based	Results-driven
Vision-Mission-Value-Goals	Standard operating guidelines
Bird's view	On-the-ground view
Future-focused	Present-emphasized

the highest level of visibility and credibility within the parent organization. Execution of the plan is arguably more important than the format and, therefore, a plan that responds to current and anticipated user needs in support of business objectives—no matter the type of parent organization under consideration—is what we are aiming to achieve. Typical strategic plans will include some or all of these components: a situational analysis, vision, mission, values, and goals with strategies and tactics to achieve those goals.

For background or situational analysis, the most popular and oldest tool in the library or information center is the SWOT analysis (Strengths, Weaknesses, Opportunities, and Threats) (Matthews, 2005).

As demonstrated in Figure 1, the SWOT analysis brings together findings from the analysis of external forces and internal capabilities to identify the organization's strengths and weaknesses in relation to the marketplace and the opportunities and threats presented by predicted environmental trends (Matthews, 2005). Focusing on the likely future situation enables the planning team to highlight areas requiring attention. It concentrates on significant issues, assessing each threat according to its potential severity--high, medium or low--depending on potential consequences if the threat materializes. It also assesses each opportunity for its attractiveness, measured by revenue or other beneficial outcomes (Beerel, 1998). Ideally, current and developing strengths will counter potential threats and there will be new opportunities to pursue in order to minimize current weaknesses.

The SWOT analysis includes a detailed review and interpretation of data obtained from user needs studies along with ideas generated from brainstorming with users and stakeholders. It requires introspective reflec-

Figure 1. SWOT analysis
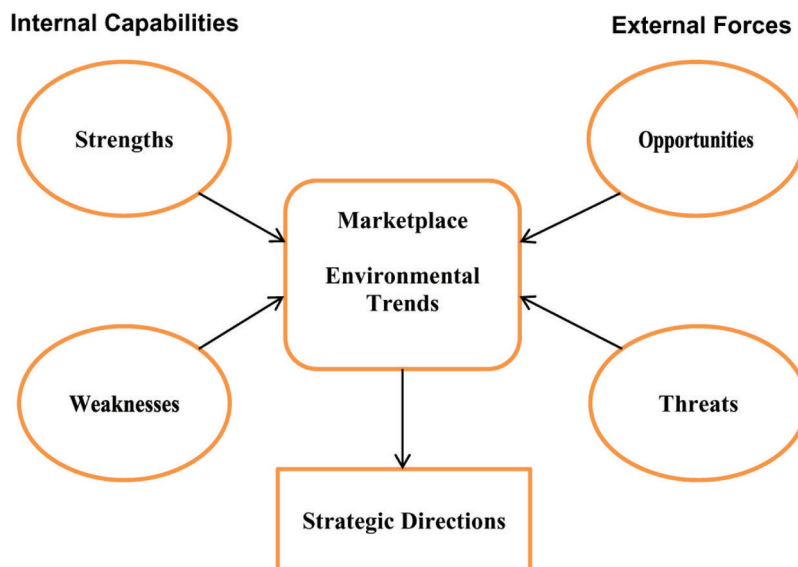
tion regarding the effectiveness of the current operation. It also demands that emerging trends and forecasts be deciphered as they relate to information and knowledge management as well as to the business of the parent organization. What services should be retained, canceled, or added? What areas can be targeted for cost sharing or cost saving? What new markets or user communities can be targeted? Trends can be spotted by scanning scholarly and trade literature across multiple sectors, attending professional conferences, participating in social media forums, and informal benchmarking.

An alternative or complement to the SWOT analysis is Scenario Planning. It consists of studying and reacting to different versions of the future based on different sets of planning assumptions. For example, how will the information-seeking behaviors of stakeholders change in the future if a totally online collection of information resources and virtual staff were to replace the physical information center? Scenario planning is regarded as a vehicle for an imaginative leap into the future (Schwartz, 1996).

Customer satisfaction surveys and information needs assessments are other useful means of realistically and objectively documenting the current situation. Structured input on user and business needs is best obtained through surveys, focus groups, and interviews. Survey questions that elicit feedback about anticipated information needs and business problems for which it is currently difficult to find background and strategic information are particularly helpful in the strategic plan-

ning process. It is necessary to understand user expectations regarding how they receive information -- self-serve, raw articles found and delivered by an intermediary, or with value-added analysis and formatting done by special librarians and information professionals. Social media participation and device preferences must also be considered as user behaviors in these areas are changing rapidly.

Figure 2 below further illustrates the external and internal environmental scanning activities for special libraries and information centers.

Values/Vision/Mission/Goals/Strategies

As noted earlier, strategic plans typically include vision, mission, and values statements. These are supported by goals, strategies, and action plans at successive levels of specificity (Jaehne, 2012; SLA, 2001a). Upfront, it is important for the team to agree on the meanings and use of these terms as they are not always understood the same way. For example, "action plans" may be called "tactics" in some organizations, while "strategies" and "objectives" are sometimes interchanged.

Values describe the principles, beliefs, standards, or code of behaviors that guide the organization (Jaehne, 2012). Value statements guide the organization and help assure that selected service functions, chosen strategies, and potential partnership are "right." Special library and information center staff decides whether they "fit" with this organization by whether they "believe in" and are committed to what the organization does as well as how it does its work (Jacobson & Sparks, 2001).

Figure 2. Environmental scanning for special libraries and information centers
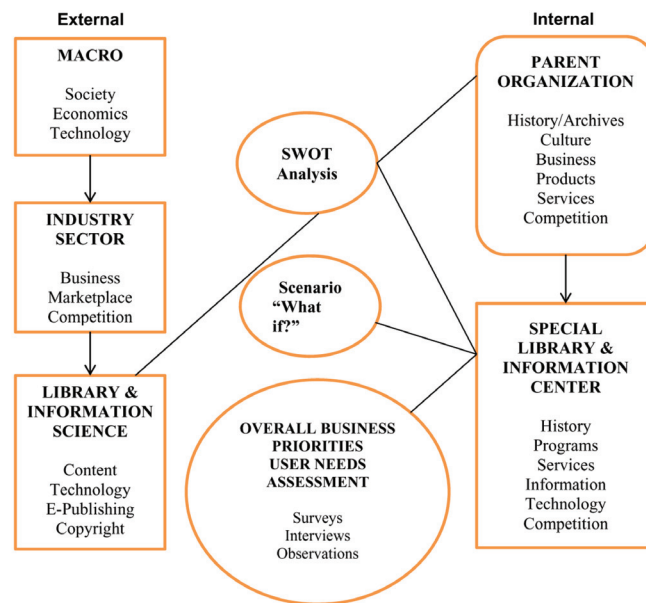
The *vision* states what one's library or information center aspires to be or do while the *mission* explains why the library or information center exists. To simplify, the vision and mission statements may be collapsed into a *statement of purpose*. A vision statement is typically a shorter, more abstract description of the organization's aspirations. It articulates the long-term ideal of what or where the organization wants to be. It also utilizes the future tense, using phrases such as 'will become', 'seeks to', and 'strives to', for example (Caballero & Owens, 2002; Jaehne, 2012).

The *mission* statement is more concrete, communicating the focus and business of the organization (Jaehne, 2012; Hill & Jones, 2008; SLA, 2001a).

Goals define what must be accomplished, specifically what outcomes or results need to be achieved (Caballero, 2009; Jaehne, 2012).

Lastly, *strategies* describe how those goals will be realized; they may specify programs or initiatives as well as the resources needed to achieve those goals. Broad categories of resources to be considered are personnel, content, technology, and, in some cases, real estate or space, although this last category diminishes in importance if the goals focus on virtual and self-serve, desktop access. Success measures are linked to each goal; timelines, milestones, and achievements or outcomes must be identified in order to assess the effectiveness of the plan and the performance of the persons responsible for implementing it (Jaehne, 2012).

Figure 3 displays the key components of a typical strategic plan in a special library and information center as well as the relationships between them.

Figure 3. Components of a typical strategic plan
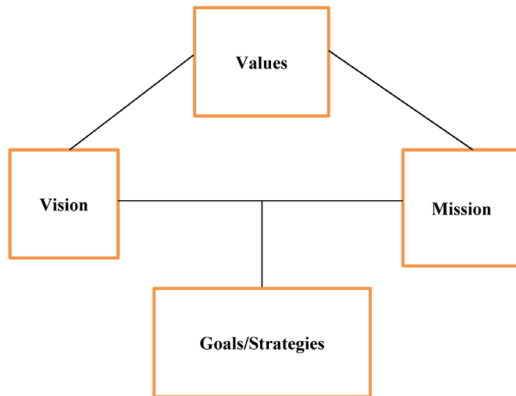
It should be noted that in some organizations, all departments use a planning template that rolls up into an organizational strategic plan. In those cases, it is crucial for the library or information center to adhere to the organization's template rather than use the outline just discussed (Jaehne, 2012; McGee, 2006).

Who should be part of the strategic planning process? Persons who will be essential to achieving the vision identified in the plan should be involved in some of the planning activities, including special library and information center directors, staff, users, and senior management. Ideally, all who will be affected by the plan will have the opportunity to participate at some level, perhaps via surveys or focus groups, if they are not members of the planning team. Inclusive participation and involvement is critical (Brown & Gonzalez, 2008; Jaehne, 2012; Jacob, 1990). It strengthens leadership in the special library and information center when there is reliable input from stakeholders. It also cultivates

much-needed support from senior management, facilitates effective decision making, and ensures smooth implementation by securing budget approval and resource allocation.

BENEFITS, EVALUATION, AND FAILURE OF STRATEGIC PLANS

Technology, economics, and the ubiquity of information resources have raised the profile of the role of special librarians and information professionals, making it incumbent on them to demonstrate how they contribute to the performance of the parent body (Hobrock, 2008). No longer is it sufficient to build specialized collections that might be used by knowledge workers in the organization (Jaehne, 2012). Budget pressures, perceptions that free Internet resources are good enough, and assumptions that all employees are able to search and find the information they need to inform and support business decisions are among the factors contributing to the scrutiny of the role of libraries and information professionals as well as the function of information centers and special libraries.

With the significant amount of time and resources invested in developing the strategic plan, it is critical that the plan not be filed away and forgotten until the next planning cycle. It is a dynamic, living document with multiple applications and benefits (Jaehne, 2012). Here we name some of the benefits of a strategic plan and suggest how it might be used. We also discuss the need for ongoing monitoring of the plan and why strategic plans often fail.

Strategic Plan Benefits

The benefits of a strategic plan are multi-fold. Strategic plans are business documents commonly used across functional areas; special library and information center directors who wish to engage with senior management must be adept at developing a strategic plan and adapting it as business conditions evolve. The plan can be used to initiate conversations with executives in various departments to promote collaboration between the library or the information center and other areas of the organization (Hobrock, 2008). With a clear set of priorities and objectives being identified, it is an effective tool for communicating the value and relevance of the library or information center. It puts the library or information center in line with and in support of the parent organization's strategic and financial performance goals (Brown & Gonzalez, 2008; Jaehne, 2012). In a well-integrated operation, staff performance plans will be tied to the strategic plan with quarterly and annual performance targets for each member feeding into goals defined in the plan. If new or different skill sets are required to achieve these goals, the library and information center director has data needed for training and mentoring, recruiting, or outsourcing. New hires in the librarian or information professional role bring with them fresh ideas and helpful experience -- either as a practitioner or as a leader (Cardwell, 2009). Studying the strategic plan currently in force will characterize the business climate in which they will be working and reduce the learning curve for them.

Parts of the plan may be shared with vendors as relationships are being forged with these external partners. Providing vendors with an understanding of the goals, business weaknesses, and funding constraints of the special library or information center enables the vendor to move beyond discussions of price, yielding a mix of content and services that will meet specific needs (Smith, 2011).

Finally, the plan will serve as a compass for action. There are always new business needs, new service models, and new resources to be considered. Leaders must balance goals and priorities established in the plan against these new options (Caballero, 2009). They must be firm and focused on achieving key goals, and at the same time, nimble enough to change course if it leads to a closer alignment with the business.

Monitoring and Evaluating the Plan

If the plan is indeed a compass for action, it must be periodically reviewed (Jaehne, 2012; Piorun, 2011). Quarterly reviews will keep the plan fresh and on track. In the review process, library management directly measures the progress of the plan, monitors changes in the environment, debriefs staff and stakeholders, requests and delivers feedback, and celebrates goals achieved (Caballero, 2009). Modifications may be made to the plan depending on the answers to the following questions (Jaehne, 2012):

- What has been done correctly?
- Which part of the process could be improved or done differently to produce better results?

- What has changed in our business environment?
- Are we making realistic progress toward goals?
- Do stakeholders perceive productivity enhancements?
- Are there gaps in staff skills or knowledge that must be addressed?

Documenting the process and progress makes further planning easier and more accurate. Breaking a large project into small parts simplifies the work, following through with measurements for progress and milestones (Jaehne, 2012; SLA, 2001a). Figure 4 presents the evaluation cycle of strategic planning, which is iterative, continuous, and non-linear.

Communication with the stakeholder and user community about the planning process and implementation progress should be continued through all the channels the special library or information center regularly uses, including formal meetings, written reports, blogs, portal postings, and interviews given by the library and information center directors (Brown & Gonzalez, 2008). The communications plan is particularly important as organizational culture conflicts may be encountered; communications about new initiatives should emphasize alignment, outcomes, and overall benefits (Jaehne, 2012; Piorun, 2011).

Why Strategic Plans Fail

Strategic plans may fail due to a variety of factors. Two primary reasons for failure are: 1) user needs and organizational goals are not understood and not properly addressed;

Figure 4. Cycle of strategic planning
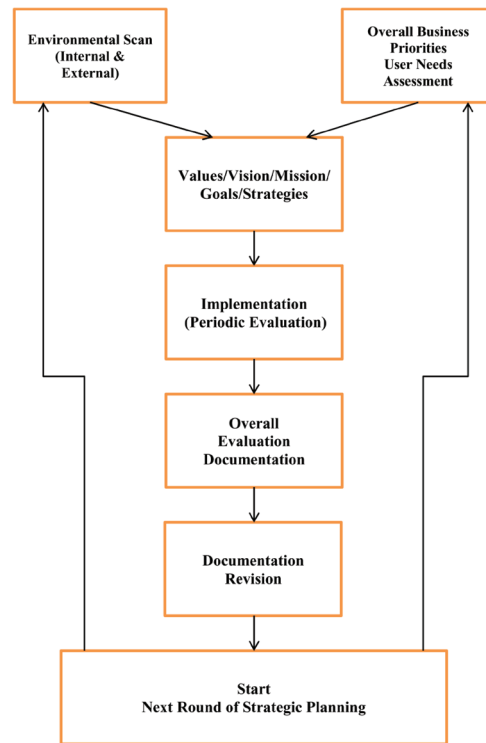
and, 2) there is no follow through (Covey & McChesney, 2007; Jaehne, 2012).

Strategic planning in special libraries or information centers must be part of the parent organization's strategic planning and must reflect knowledge of organizational goals and user priorities (Cardwell, 2009; Jaehne, 2012). As discussed earlier, special libraries and information centers are sponsored by an organization with a non-library purpose and with particular objectives in mind; the interests of the library and information center must be matched with and support those of parent organization and users (Heather, 1994; Jacob, 1990; Jaehne, 2012). "Librarians are liked but are not usually considered an indispensable link between customer needs and the world

of information. Unless librarians are seen as mission-critical to the success of their organization, there will be pressure to eliminate or greatly reduce library services and staffing" (Matarazzo & Pearlstein, 2011a). The library and information center must achieve results-driven and outcome-based performance that puts customers first (Jaehne, 2012).

Covey suggests that people fail in planning and implementation because they don't know the goals, do not know how to achieve the goals, or there are just too many goals (Covey & McChesney, 2007). Jaehne agrees and points out two strategic planning realities: everyone wants to succeed but few know how; and, most people fear change (Jaehne, 2012). Another reason why strategic plans fail is ineffective communication with senior management. This could result in a strategic review or changes being imposed from above.

As stated earlier, the second reason for failure of strategic plans is that the strategic plan is mostly ignored once written. There is no follow through from strategy to operational action and management does not secure the resource base for its implementation. The plan is not used for measuring managerial performance and managers do not tie staff performance goals to strategic goals. Staff is not inclusively invited to participate in the process. Planning is not viewed as a continuous process and there is no flexibility in the plan. The plan conflicts with the organizational culture and those conflicts are not resolved.

More than ever before, an uncompromising respect for and an alignment with organizational goals are crucial to winning senior management support for strategic plans developed by library and information center management. Misalignment practically guarantees that the information center will be swimming against the current and will become weaker, or in the worst case, irrelevant. When information center leadership effectively communicates this alignment and shared focus on the success of the business, the plan will be taken seriously by peers (Aamot, 2007).

SOLUTIONS AND RECOMMENDATIONS

The strategic planning process forces special library and information center personnel to think broadly and deeply about the direction of the parent organization and to think creatively and strategically about their role in achieving business goals. The amount of money spent for information resources today demands a plan with accountability. The resulting strategic plan is a tool for communicating core values and goals. It also provides a framework for evaluating new ideas and allocating resources in light of strategies put in place to advance the priorities of the parent organization. Ideally, the special library or information center strategic plan will be incorporated into the strategic plan of the parent organization. If there is no central information center, it is advisable for information professionals to incorporate an information management strategy into departmental strategic plans.

The planning process has been discussed in detail. To move from planning to successful execution, visionary leadership is required. Visionary leaders inspire persons working with them as they create a vital linkage be-

tween the special library or information center and strategically important units of the parent organization. Visionary leaders rigorously collect and communicate data and anecdotes that demonstrate the value of their operation.

The Role of Visionary Leadership

The SLA's Competencies for Information Professionals of the 21 Century clearly defines the leadership role for information professionals (SLA, 2003). Among the eight attributes described for persons managing information centers, we highlight the ones most relevant for the execution of strategic plans and the delivery of business results.

- Aligns the information organization with, and is supportive of, the strategic directions of the parent organization or of key client groups through partnerships with key stakeholders and suppliers.
- Assesses and communicates the value of the information organization, including information services, products and policies to senior management, key stakeholders and client groups.
- Contributes effectively to senior management strategies and decisions regarding information applications, tools and technologies, and policies for the organization.

Visionary leaders motivate and inspire colleagues and staff to see themselves as part of a purposeful venture. When implementing the vision and strategies arrived at in the strategic planning process, the leader must be visibly

and credibly willing to take on the risks of a new direction. The leader must prioritize certain activities, keeping his/her eyes on the "red dot," identifying and developing those persons who have critical skills, a positive attitude, a willingness to take on new challenges, and commitment to organizational goals (Jaehne, 2012) .

The Critical Linkage with the Parent Organization

As we have emphasized throughout this chapter, the special library or information center cannot operate in isolation; it must establish a close linkage to the parent organization's goals and strategies (Jacob, 1990). The role of the library and information center is ultimately determined by the information needs of the organization and by executive sponsors and users. The visionary leader seeks an interdependent relationship between the special library or information center's vision, mission, values, and goals, as well as those of its parent organization. To achieve this state of synergy, leaders of special libraries and information centers must regularly monitor the current, short-term, and long-term objectives of the organization, study communication patterns and the organizational culture, identify and get to know the prime movers and shakers, understand organizational priorities, and what initiatives are being funded. As the special library or information center becomes more closely integrated with the overall strategic objectives of the organization which it serves, it must be willing to seize opportunities to be involved in any aspect of the organization's activity which will benefit from the special-

ized knowledge and experience that special librarians and information professionals possess (Matarazzo & Pearlstein, 2011a, 2011b).

Figure 5 below illustrates how the library or information center is linked to the parent organization and how it plays a central supporting role, enabling the parent organization to accomplish its mission and goals. The library and information center's strategy must always be in sync and consistent with organizational objectives and values.

Demonstration of Value

Special libraries and information centers must demonstrate their value within the context of the overarching organization. In the face of economic pressures, organizational downsiz-

ing, or outsourcing of non-core activities, special librarians and information professionals must document how their work contributes to the success of the organization. Organizations have various criteria for measuring "value." Return on Investment, reduced time to market, or increased sales are meaningful measures of value in some organizations. With substantive data and feedback collected from users, special library and information center leaders can report to management estimated time savings, cost savings, or increased revenue realized because of excellent information resources and services. In other organizations, softer metrics such as more informed decision-making, greater knowledge of customers and market conditions, or employee productiv-

Figure 5. Linking the special library or information center to the parent organization
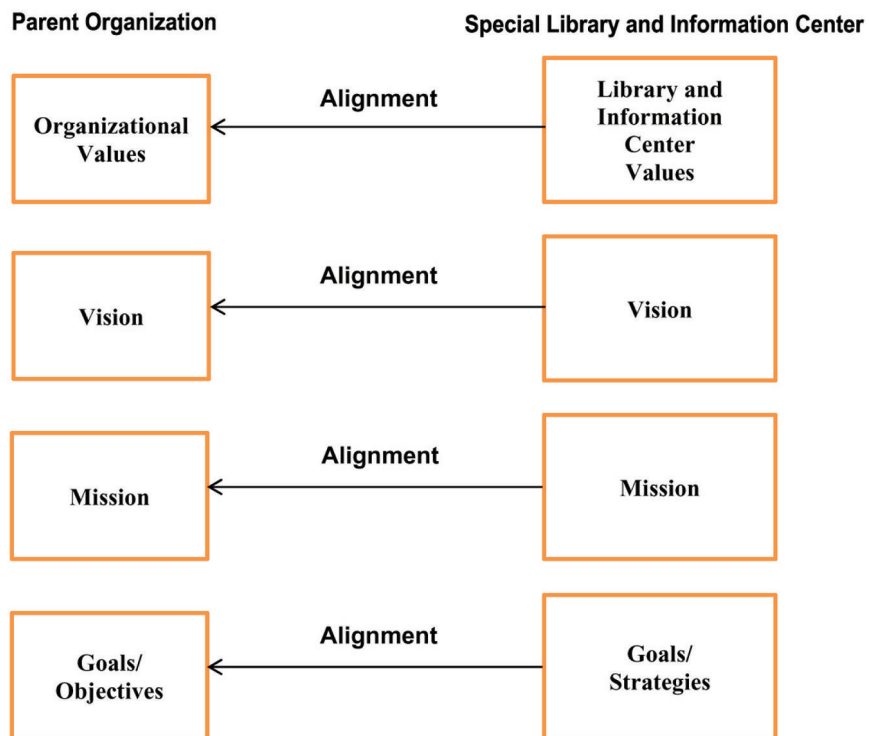
ity and satisfaction resulting from access to timely and authoritative resources are more meaningful. In this culture, special librarians and information professionals should capture anecdotes and stories to share with management and colleagues across the organization.

Working through the strategic planning process with stakeholders and funders, special library and information center leaders will gain a clear understanding of the value proposition promoted by the organization and the metrics that resonate with senior management. Once those metrics are clear, they must be related to goals in the strategic plan. Management must be diligent about building a case that illustrates the value delivered by the special library or information center. For example, if an organizational priority is to expand sales efforts in Latin America, the information center must identify and source content about Latin American markets, business risks, target clients, and potential partners as well as also build relationships with internal departments involved in this activity. Ways in which these background resources, alerting services, or analytical reports created by information professionals facilitate building sales in Latin America must be documented to show alignment with an organizational priority and its contribution to business success. Reporting how library or information center activities are linked to the achievement of business goals is a basic business skill. Data and stories should be used to justify continued investments in information resources and personnel and to showcase alignment with the organization's priorities.

Emphasis is often placed on user evaluation of the library or information center's resources. How was information provided by the library or information center used? How did that information shape business decisions? How did it minimize risk or prevent duplication of effort? How have the materials made available by the library or information center made a difference in the user's professional life? The pace of business usually makes it challenging to collect feedback from users. Hiring a consulting firm to collect and analyze outcomes, testimonials, user survey data and insights gained from focus groups and interviews is an option for determining and documenting value. Third-party objective analysis may carry added weight in an internal review.

Astute leadership, tight alignment of library and information center strategies with organizational goals, and clear indications of value do not guarantee that this function will be maintained by an organization. Management perceptions about how information should be sourced as well as budget cuts may still result in the closure of the special library and information center. However, planning and management skills developed by information professionals will serve them well in successive career steps.

Case Study: The IFSI Library

To further demonstrate strategic planning in special libraries and information centers, we offer a case study about strategic planning at the Illinois Fire Service Institute (IFSI) Library, University of Illinois at Urbana-

Champaign. The IFSI Library case exemplifies the three recommendations we suggested above -- the role of visionary leadership, the critical linkage with the parent organization, and the demonstration of value-added professional services with a user-centered approach.

IFSI is the statutory State Fire Academy and it is the oldest continuous fire college in the United States, established in 1925. IFSI's major fire emergency training programs include Agricultural Training, Firefighting Basics (which the IFSI calls its Cornerstone Training), E-learning, Emergency Medical Services (EMS), Fire/Arson Investigation, Firefighting, Fire Officer Training, Fire Prevention, Hazardous Materials, Homeland Security, Industrial Fire Brigade Training, and Rescue. According to the Illinois Office of State Fire Marshal, there are 1,256 fire departments and 42,675 firefighters in Illinois. Among them, 75% are volunteers. Under the IFSI Vision 2010, Vision 2015, and Vision 2020 for the Future (which are the IFSI's vision and documents the years they are to be implemented), IFSI's mission is to help firefighters do their job with the training, education, and *information* he/she requires each year. IFSI's central goal is to help Illinois firefighters and other emergency services providers develop the core skills required to effectively meet the emergency fire service needs of their communities.
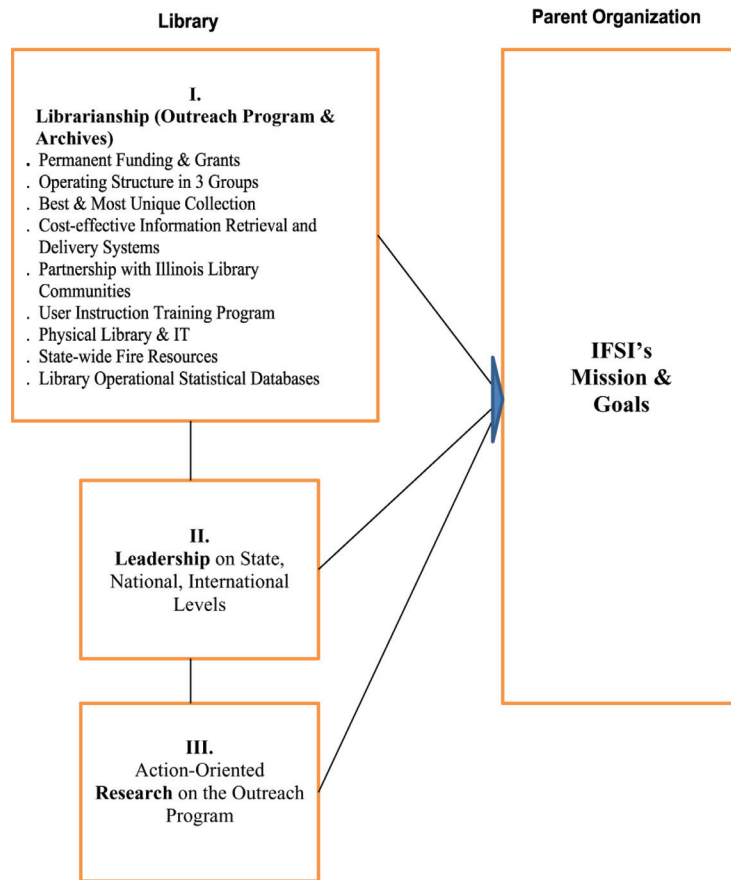
The Role of Visionary Leadership

In 1990, the IFSI Library was founded by a solo librarian as an in-house technical library in a 700 sq. ft. office space. In 1999, the librarian was promoted to Director/Head Librarian and she actively participated in IFSI's Vision 2015 planning. The Library was defined as a supporting role in the newly created organizational structure. The head librarian conducted a user survey among 1,256 fire departments and obtained a 46% return rate. One of the important survey findings was the need to establish the Library Outreach Program, which provides no-cost library programs and information services to firefighters, since local resources are fragmented and there are no other professional librarians available. The Outreach Program greatly benefits those who lack funding and resources, particularly small/volunteer departments in under-served urban and rural communities. Another result of the survey was to establish an Ad Hoc Library Advisory Committee, with 16-19 members selected from local fire departments to serve as the library's local liaison and contact points. To further the organizational mission and goals, working with the advisory committee, the Head Librarian created the first 3-year strategic plan (1999-2001) and identified the three strategic focuses of librarianship, leadership, and action-orientated research that are shown below in Figure 6. These continue in the next four strategic plans (2002-2004, 2005-2007, 2008-2010, and 2011-2013) to support IFSI's mission and goals.

Aligning itself with the IFSI Vision 2010, the IFSI Library has developed its mission to provide fire emergency library and information assistance and services to IFSI's instructional staff and students, Illinois fire departments, firefighters, and other fire/

Figure 6. The strategic plan of the IFSI library

emergency-related users to assist in the successful and effective performance of their duties.

Under visionary leadership, IFSI Library has built strong partnerships at the local, state, national, and international levels (as shown in Figure 7) and established a wide professional network of support for its strategic planning.

Value-Added Services with User-Centered Approach and Evidence-Based Practice

During the implementation of the multiple strategic plans, the IFSI Library takes a user-centered approach to develop value-added library programs and information services. The Library agrees with Fidel (2000) that "the most basic concept in the user-centered approach is information need" and that "different groups of users may require different types of information systems." From 1999 to 2008, the IFSI Library aggressively sought external funding and brought in $307,264 from a variety of organizations. Among them, nine were Library Services and Technology Act (LSTA) grant awards from the Illinois State Library. The grant awards helped the IFSI Library develop its initial Website and Web request capability, start partnerships with the Illinois library community, and deliver physi-

Figure 7. IFSI library's partnerships
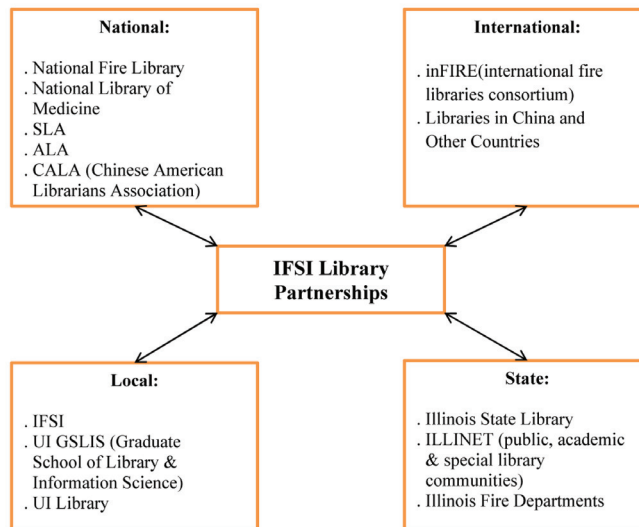
cal library materials to firefighters throughout the state-wide inter-library delivery system--no matter where firefighters live and work. One of the grant awards, "Libraries in the 21st Century – Developing the Distance Learning Library Services for Illinois Firefighters: an Integrated Information Service with Online Firefighter II Certification Program" ($49,570, Dec. 2000-June 2001), supported the library's first instructional integration with IFSI academic programs. Another grant award on "The Illinois Firefighter Line of Duty Deaths (IFLODD) Digital Image Collection Database" was highlighted in April 2009's *ILA REPORTER* issue (Illinois Library Association's official publication) as one of the exemplary LSTA grants in Illinois. IFLODD was also featured in both *The Scout Report* (one of the oldest and most respected Internet-based current awareness services) and *The Newberry Library Genealogy News* (Newberry is one of the most prestigious research libraries in the

United States). IFLODD collects and provides Internet access to a multi-dimensional dataset of photographs and fire department records that document Illinois firefighters who died in the line of duty. As the most comprehensive source of information on Illinois firefighter line of duty deaths, IFLODD contributes to IFSI's teaching, training, and research efforts (Ruan & Groves, 2010).

The Head Librarian has conducted evidence-based and action-oriented research on use and users of information for the Outreach Program since 1999 and applied these research findings to strategic planning and implementation. "For special librarians, evidence-based practice refers to consciously and consistently making professional-level decisions that are based on the strongest evidence of what would work best for our clients" (SLA, 2001b). One of the research projects, entitled "A survey to support 'evidence-based practice' in special libraries serving fire service personnel and

researchers in public safety and homeland security areas," was funded by the Special Libraries Association Steven I. Goldspiel Memorial Research Grant in 2003 and the Campus Research Board Award, University of Illinois at Urbana-Champaign in 2004.

The key research findings demonstrated that the impact fire libraries have on information use by fire professionals in their decision-making is far-reaching and convincing (Ruan & Smith, 2005). The Head Librarian also completed her doctoral study, entitled *Information-seeking and sharing behaviors among fire service field staff instructors: A qualitative study* (Ruan, 2011). The study found that the instructor participants demonstrated similar high levels of awareness and reliance on the Fire Academy Library and other libraries. They praised the library as "fabulous" and noted that it had a "whole wealth of stuff." The librarian had been "great;" the amount of materials that she gave to instructors was "unbelievable" and she could "zero in on specifics much better" than they could.

The Critical Linkage with the Parent Organization

Through its strategic plans and implementations, the IFSI Library has successfully built the critical linkage with the parent organization. IFSI recognizes the library as one of the "central pieces" and "driving engines" of the organization. Director Jaehne has high praise for the library, serving as the linking point between the information world and fire service community. It helps transfer scientific research findings into the real world of fire service to improve firefighter safety and practices of

saving citizen lives and property. In 2001, the IFSI Library worked on *A Building Program for the Fire and Emergency Library* with a professional building consultant (Schlipf & Ruan, 2001) funded by an LSTA grant to expand the physical library. The library actively participated in the design, construction, and dedication of the nine-million dollar Learning Resource and Research Center (LRRC), building shown in Figure 8 below. In 2011, the library moved to its permanent home inside the LRRC building and expanded the library from 700 sq. ft. to 3000 sq ft. (in addition to storage space in another building).

When the IFSI Library does its strategic planning, it does so in alignment with IFSI's vision and mission. It has learned to take the extra step of translating library and information science knowledge into language relevant to the organization (Matarazzo & Pearlstein, 2011a, 2011b). It strives to further IFSI's organizational goals, proactively be relevant to the organization, and develop the library creatively in ways that add real value to the organization. Under the current Vision 2020 plan, the library keeps up its momentum with

Figure 8. The IFSI learning resource and research center

the four-dimensional development of Library, Archives, Memorial Hall, and Knowledge Management goals.

FUTURE RESEARCH DIRECTIONS

Matarazzo and Pearlstein (2011b) point out four elements that are common to outstanding special libraries and information centers: 1) management recognition; 2) a manager who understands the business of the organization, the industry, and the information profession itself; 3) an information staff that functions as a team; and, 4) a team that can manage the politics of information within the organization. More research needs to be done to correlate successful strategic planning with outstanding special libraries and information centers. Researchers should collect both successful and failed cases, and then investigate them for patterns and lessons to be learned. This future research should seek to discover the key to realizing the value of special libraries and information centers through both the economic and social impacts to their user communities and parent organizations.

Special libraries and information centers are found in a wide spectrum of sponsor organizations. These organizations have different strategic planning processes. For example, in the corporate sector, strategy cycles are shrinking due to disruptive technologies, information overload, and the implications of the global economy. Should we treat the strategic planning process differently in different organizational settings and cultures? Organizational culture has considerable influence on strategic planning and determines the organizational mission, values, and assumptions underlying

planning. It influences scanning behavior and the interpretation of environmental events. Are there organizational cultures in which the strategic planning process is more valued than others?

One metric, the Baldridge National Quality Program Criteria Categories (NIST), includes leadership, strategic planning, customer focus, measurement, analysis and knowledge management, workforce focus, operations focus, and results. New research might apply the Baldridge criteria categories to special library and information centers' strategic planning activity.

For the profession to survive and evolve, special librarians and information professionals need to learn more about user and organizational needs through studies of the information-seeking and searching behavior of their users in connection with strategic planning. They should proactively anticipate where knowledge workers need information in work flows and ensure that the highest quality information is available at the point of need.

CONCLUSION

Why are strategic plans important for special libraries and information centers? The plan aligns their goals with known business objectives, establishes a framework for prioritizing activities and deploying resources, and creates a benchmark for measuring impact and progress toward goals. It also creates opportunities for involvement at higher levels of management and serves as a bridge to connect the special library or information center with the rest of the organization (Matarazzo & Pearlstein, 2011a).

Matarazzo and Pearlstein (2011b) strongly believe that strategic alignment with the parent organization is the one generic formula that makes the success of special libraries and information centers more likely. "How one goes about 'doing the math' depends totally on figuring out how to achieve that alignment" (Matarazzo & Pearlstein, 2011b).

Savvy managers periodically and deliberately assess staff demographics, skills, interests, and aspirations in the light of emerging business demands and opportunities. Skills and attributes deemed necessary to carry out the plan will help managers identify staff development and training opportunities as well as skills gaps for which new talent is required. Career ladders can be sketched out to build expertise and capabilities within the information professional group and ensure business continuity and a smooth succession in the event of a member retiring or resigning.

Developing and implementing the strategic plan is an art and also a science. Broader business practices change and for sustainability, information professionals must be able to adapt, reinvent, and revitalize their contribution to the parent organization. The planning process provides insights into those evolving business practices and offers special librarians and information professionals the opportunity to engage more fully with the organization. The updated or new plan continues to be a compass for action in a new set of circumstances.

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KEY TERMS AND DEFINITIONS

Goals: A list of outcomes or results that the plan targets for achievement.

Mission: A statement of why the organization exists and what it does.

Strategic Planning: The process for defining the desired future direction of an entity, as well as a path to achieve that reality based on analysis of the current situation, trends, opportunities, and stakeholder and business needs.

Strategies: Plans of action for achieving goals. Strategies can be initiatives, programs, or events scheduled to occur within a specified time frame.

User-Centered Approach: Focuses on the needs of users or customers to provide products and services tailored to helping them in their work.

Value-Added Professional Services: Enhancements to standard services and business practices.

Values: Core beliefs and behaviors that guide employees of the organization.

Vision: A statement of what the organization aspires to be and how is aims to be perceived.

Chapter 8

Succession Planning
and the Library:
The Strategic Plan

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ABSTRACT

This chapter focuses on the strategic planning aspects of succession planning in libraries. The idea of succession planning needs to be included in the long-range plan. Strategic planning grows from a strong mission and vision and, in this case, implementing succession planning as a value. By employing some foresight in the development of policy, an environment supporting succession planning is created. Becoming part of the process and gaining a support network with resources are important aspects of this discussion. Assessment of the current situation and considering the structure of the library also come into play. Creating a strategic plan that involves succession planning is the goal.

INTRODUCTION

Succession planning becomes a viable reality through strategic planning. The road to succession planning involves becoming part of the process and developing policy in order to cultivate leadership in libraries for the future. Libraries have different issues due to variations in their structures. Professional acknowledgement and commitment are required along with certain characteristics and resources. The current situation must be analyzed and goals created. Who are the decision makers in your organization? By putting the idea of succes-

sion planning into place, employees can reap benefits of being part of the future plan and protect posts from elimination. The structure would promote loyalty and recognition. The objectives of this chapter are to acquire an understanding of the strategic planning process, learn to incorporate succession planning into the strategic plan, and discuss useful ideas to promote succession planning.

BACKGROUND

In "From Surviving to Thriving," Stoffle and Cuillier look at planning for the future in academic libraries: "It is our responsibility as the librarians and staff of today to work together to build the successful libraries of the future." They want to "enable the creation of library as service rather than library as collection." They realize that they "did not have the resources to continue traditional collection and processing activities" and needed to plan for change. They believe "the most important resource that any library has is its personnel" and in planning and budgeting, they needed to "align our strategic goals with the university's strategic plan." While this article is directed toward academic libraries, it can be applied to all types of libraries. They state their goals, realize their strengths and weaknesses and acknowledge being part of a larger organization.

According to Nixon's article *Growing Your Own Leaders: Succession Planning in Libraries*, "The basic steps of succession planning are: 1. Analyze the demographics of your key positions, 2. Identify potential employees for lead positions, 3. Assess candidate's strengths and weaknesses, and 4.Develop a training

program to build competencies." These four concepts can aid in structuring your strategic plan. To get a general idea of the age of key positions, the date of their undergraduate degree can be used. Perspectives on retirement are changing and while an employee may be considered ready for retirement by their institution; the employee often has a different perspective. Identifying potential employees for leadership can be done by supervisors, usually during review. Mentoring can be used to encourage the employee and afford the supervisor a leadership opportunity. Strengths and weaknesses can be addressed through reviews. If there is not an extensive training program, continuing education can be promoted by sponsoring conference attendance and rewarding library association involvement.

In *Succession Planning in the Library,* 21st century skills and trends are covered. Understanding core competencies for different libraries will be a helpful tool for planning. Among other things, "competencies provide clear guidelines as to what it takes for your library to be successful." Some trends are aging, due to the Baby Boomer population, diversity, shortage of workers, and loss of skills. The economic collapse of 2008 has changed the way people view their retirement and their future. New college graduates are lacking opportunity while people are staying in their jobs longer. In order to achieve a balanced approach to staffing, the age and experience of the staff and what they offer must be taken into consideration. Many new librarians may be tech savvy but not very experienced in creating a collection or working a Reference

Desk. Older employees may balk at learning new things. Movement among older staff who do not want to retire may be required. Staff may be amenable to a reduction in hours so that another employee can be promoted. Transitions can be made more fluid so that employees do not feel "stuck" for years with no hope in sight. Libraries that do not employ strategic planning risk stagnation. Trying to assemble staff with a variety of talents and ages is a challenge but one that reaps benefits in terms of future development. In turn, the staff learns from each other. Mentoring and an introduction to new talent can foster the skills to move the library forward. The guard is not changing, it is in constant flux, adapting to an evolving library.

The "Core Leadership Competency Model" in the article "Developing Core Leadership Competences for the Library Profession" explores five competency groups. They include cognitive ability, vision, interpersonal effectiveness, managerial effectiveness, and personal attributes. Examples of cognitive ability are: problem solving, decision making and reflective thinking. For vision, different types of thinking are examined: global, creative/innovative and forward. Interpersonal effectiveness involves accountability, team building, being culturally competent, development, inspirational/motivational qualities, and communication skills. Managerial effectiveness features managing change, resource management, strategic planning, collaboration, and flexibility. Personal attributes are being ethical, honest, humble, gracious and teachable. This gives you an idea of the varied extent of core competencies and how integral they are to staff development. Creating a unique model will strengthen and define a library's criteria for hiring and promoting, in accordance with their plan.

In the Department of Justice's *Library Succession Plan: Findings and Recommendations,* they ask, "How can we identify and encourage leaders at all levels of the organization?" They discuss environment, mentoring, professional encouragement and teamwork. Regarding professional development, a "workplace assessment survey" is employed to identify areas where training could help. A "mentoring program committee" can create a group with measurable goals for mentors. An online question and answer forum with management could improve communication with staff for knowledge management and information sharing.

Creating a Strategy

The strategic plan is a document that provides guidance for the future of your organization. Most organizations have welcomed strategic planning as a tool to deal with change. While planning, in general, is continually taking place, the strategic plan looks ahead at the bigger picture through the lens of larger long term projects and goals. To advocate for future planning, librarians must be strategists and analyze creative ways for their organization to improve. To incorporate succession planning as part of the strategic plan, librarians must understand and successfully advocate for creating a strategy that can work for their library.

The strategic plan lays the groundwork for the future and gives credence to ideas in the mission and vision of the organization. When succession planning is seen as valuable, its incorporation will be expected and understood. Current employees will be able to see future opportunities, thus creating more loyalty while acknowledging professional expertise. This will lead to a more fluid transition when an employee retires and less disruption for administrators.

Stueart and Moran break down the strategic planning process into five questions: "Who are we?" "Where are we now?" "Where do we want to be?" "How do we get there?" and "How are we doing?" Asking these questions of an organization can help structure the administration's approach to the overall design of a strategic plan.

IDENTITY

The identity of the library is based on a mission. Historically this mission was displayed on the wall. Now it would make more sense to post it on the library's home page so that patrons have a sense of the library's purpose. Along with your mission, vision and values are needed. A strong mission with a clear vision for the future and solid values will create a foundation for your strategic plan. If there is a long-range plan in place, this is your starting point. With the library world changing rapidly, a long range plan written five years ago may no longer be relevant. The ideal time for assessment is during the creation of a new plan.

What are the values of your organization? Matthews gives some examples, "value of the customer, importance of staff members, how things are accomplished, importance of efficiency, type of communication that is valued, and the role of performance measurement." Regarding a library's values, most libraries are not for profit. They exist to provide access to information. Planning should be an outgrowth of the organization's values. Listing them can help bring focus to the library's identity. Patrons and staff appreciate being named as valuable. The concept of "library" is a value that promotes future existence. Per Matthews, "One of the most important challenges facing libraries as they strive to define their values is to recognize the gap that exists between those who see themselves as personal custodians and institutional guardians and others who believe librarians should be working to create value for library customers."

The vision statement will impact the entire library. It will affect collection, staffing, technology and the physical place. The vision is an exciting piece because it defines what a library can be. While the strategic plan will employ the nuts and bolts, the mission is the core reason for being, the values are the ethics and the vision is the future. Planning for the future must include steps leading to this goal.

Libraries are also what they are made up of, the employees. Consider the size of the staff, their positions and talents. Is the library just getting by or does it have a sufficient staff? Are staff duties changing due to technology? Also, in writing goals, they should "reflect the library's service priorities" as Sandra Nelson posits. Do we want to consider staff a "service priority?" Is succession planning part of the values and vision? Is it a value of

the organization to retain and promote staff? Does the vision include experienced familiar staff as a resource? Incorporating succession planning into values and vision will keep it on the table.

THE LAY OF THE LAND

Planning is based on where a library is at this point in time. To incorporate succession planning, staff positions need to be analyzed for future retirements (Rothwell, 2010). Does the current staff have the characteristics and skills needed for the future? If much of the staff will retire soon, succession planning is key to a smoother transition. Since people come and go or retire early, a succession plan in place will be a starting point for the career ladder. Younger hires will see opportunity in the future while older staff will also be able to vie internally as opposed to competing with a nationwide search.

When assessing where the organization is, it is important to realize that planning should encompass several different future scenarios. While no one wants to lay off to restructure, there may be upcoming retirements that will allow for savings or combining positions. While the mindset of today's economy is not one of expansion, it may lie in the future.

Budget is always a bit challenging. Many libraries are barely making it with their existing staff. When more staff is needed, this should be addressed in the strategic plan. Examining cost cutting measures can help preserve staff. Checking efficiency may indicate too many staff. That would allow administrators to restructure when excess staff retire. You can

eliminate a position and reassign duties. Not ideal but effective. You can freeze positions to prevent loss. Employing succession planning, you can look at the future and your present staff and see how they fit in. What skills do they have or lack?

As part of the city, many public libraries are subject to city council approval of their budget which may not allow them much control in reallocating funds based on need. Library districts have dedicated library boards. Academic libraries are part of the college or university budget. Public colleges and university budgets are bound by state laws as well as their governing bodies (Stueart, 2007). In contrast, a business library may be treated as just one more department in a corporation.

It is important to ask the question, "Could your library support succession planning?" While many agree that it is a great idea, it may not be possible to implement. The city or university may refuse or employees may be resistant to participating (Stueart, 2007). Possibly the library could use it as a recruitment tool. It could be mentioned during the interview process that succession planning is an organizational value and provides a career track. Succession planning may cause leaders to pause and think when an opening occurs making them more open to considering local talent.

FUTURE GOALS

Succession planning can be incorporated into strategic planning. The first step in strategic planning begins with analysis of where an organization is at present. The good and the bad.

Acknowledging the strengths and weaknesses of the library and any parent organization. Questions which should be asked include: What will improve the library? What services would enhance the organization? What can we work toward?

Participation in strategic planning is determined by the position of the individual and the type of library. In a public library, directors and department heads are most likely to be part of the strategic planning team. Academic libraries may be considerably larger and are part of a larger organization so those who are not part of strategic planning, will have to work harder to be heard. Those on strategic planning committees should promote succession planning on the agenda, talk it up and lobby other committee members for support. Those not on the committee should also be asked to contribute ideas. Suggestions should be written in a clear, concise manner and submitted in a timely fashion. Discussing the latest article on succession planning or emailing it to colleagues can draw attention to an individual's interest in the topic. According to Stueart and Moran,

1. The entire organization should be informed of the process and buy into its success, with all participants being kept informed of its progresses.
2. The administration of the larger organizations-academic institutions, town officials, school district, or company CEOs-should be aware of decisions, commitments, and efforts as a result of the planning activities.

How will policy be developed? Strategic planners will collect and analyze data, brainstorm and decide on an approach. Planners should examine the library staff and the community. They will determine needs by surveying the land: staff, services, budget, technology, the facility. Community feedback should be encouraged, considered and compiled.

In addition to an organizational goal, it helps to have departmental and individual goals. Sometimes the organizational goal is lofty while an individual goal is more practical, for example, more promotion of library databases. Breaking down succession planning further to departments pinpoints talents and needs specific to department (although many times an employee may move to a different department). Sometimes a Librarian may be promoted to an Assistant Director or Director, going from Reference to Administration, becoming a Department Head which blends promotion with the use of existing departmental talent.

Advocating for succession planning as a goal and/or objective keeps it an active topic. Clear goals and objectives provide a foundation for planning in the same way that the library's mission, values and vision support the organization. Goals and objectives show a desire to prepare for the future instead of reacting to times as they change.

WHEN IN DOUBT: SWOT

Employing a SWOT (Strengths, Weaknesses, Opportunities, Threats) analysis is a good starting point. This simple approach creates a

framework for the development of a strategic plan. An organization's strengths generate opportunities while weaknesses expose threats. Basic information for SWOT analyses can be found in many strategic planning resources. Nelson (*Strategic Planning for Results*) provides a good explanation accompanied by a chart. Simerson (*Strategic Planning: A Practical Guide…*) cites examples of internal factors and external forces to help you identify the strengths and weaknesses of an organization.

A good time to promote succession planning is when policy is being developed. Brainstorm sessions are open to new ideas. Succession planning incorporates future thinking and is part of a vision. In order for succession planning to be considered, there must be an environment to support it. Key players with clout may be able to implement succession planning quickly. Underlings will need to campaign to create awareness and education as to the benefits of succession planning. Being part of the strategic plan will help succession planning become policy.

ROAD MAP

Most libraries have a long range plan, i.e. five years, ten years,etc. These plans are traditionally created by committees which have researched, brainstormed and analyzed the library's data, staff, culture, parent organization, and users. Written into the plan can be a structure for how employees can be seen as future resources when positions open, specifically how it will include guidelines for succession planning at key positions (Singer, 2010). This will also save time and money when filling open positions and develop more efficient training programs for existing employees. Having a plan can enable employees to see a career path and provide a road map for growth within the organization. This structure can provide some protection from eliminating positions in a budget crunch. It also shows a respect for professional positions and establishes an environment that is less "dog eat dog."

PLANNING MODELS

Stueart and Moran describe planning models as: issue-based, self-organized, alignment, and scenario. Issue-based is a more basic form of strategic planning that can work for smaller organizations, while self-organized identifies a unique pattern in the system by which one can plan. Alignment can be thought of as coming from the mission and scenario employs "what if?" thinking for ideas. These can be helpful as a first step in analyzing how to plan for an organization or deciding what style would be suitable. Using "what if?" can help planners to get a feel as to what others think of the organization and its future.

Academic libraries may have an easier time promoting and implementing succession planning. At some universities, academic librarians have faculty status and tenure, at others they are considered highly skilled professional staff. In *Our Collective Wisdom*, the "Research Library Leadership (RLLF) Program" model is used. They "assume a well-developed set of management and leadership skills on the part of the fellow." They explore the "changing role of research library leadership" and "practical

aspects of running a library organization" (Webster, 2009). By analyzing instructional design, this program aligns the visions of research libraries with succession planning.

THE PROCESS

Strategic planning committees should try to include as many good ideas into the plan as they can gather. Even if all ideas are not currently feasible, they can provide a foundation for future planning and activities. And they become discussion topics and possibilities. Is there a plan in place? When was it written? Most likely, it needs updating. Strategic planning is an ongoing process that actually is benefited by revisiting frequently (Bryson, 2011).

In order for succession planning to be understood, it might be a good idea to draw up a proposal to distribute to the strategic planning committee. Explain the concept and why it would be good for the library. Give examples of where it would work, how it would help if someone suddenly left. Having a plan in place, staff talents could be assessed and loyalty promoted. There would be easier transitions and less time and money spent on a nationwide search. Will succession planning become just an idea or part of policy? A proposal may make it easier to digest and cause it to be taken seriously. Bryson advocates for a "strategic planning process champion" to help move things smoothly.

Additionally it can be difficult for committees to find time for everyone to meet. In a library setting, many employees have public service desk times and when taking into account people who are out sick or on vacation, scheduling a meeting can be a challenge. Email can be a great help in these situations but face to face interaction provides the most immediate reaction and if all players are present, a consensus. If the strategic planning committee is too big, it can be split into sub-committees with targeted assignments and reconvene once a month rather than once a week. By dividing the group, you also provide the group leaders an opportunity to shine. Nelson advises to "understand the elements of effective communication" so that key information does not get missed along the way.

PLANNING TO PLAN

An excellent source for all phases of planning is *Strategic Planning for Results*. It features a section on "Plan to Plan" where Nelson identifies initial steps in the planning process as "1. Identify the reasons for planning, 2. Define planning responsibilities, 3. Prepare a planning schedule and budget, 4. Develop a communication plan, and 5. Design and present a staff orientation." The more the process is broken down, the easier it is to begin. When listing the reasons for planning, succession planning can be introduced as a way to retain staff or "grow your own librarians." When planning responsibilities are assigned, advocate for the staffing piece. This is an opportunity to highlight one's interest and heighten the committee's awareness of succession planning.

Another section covers preparing for change. Ways to prepare include "assess the library's readiness for change and plan to create a positive environment for change."

(Nelson, 2008). This is another opening for you since succession planning is preparing for change and will improve the workplace environment. It will also put on the table a "what if" scenario to plan for staff departure.

Another type of plan that helps is an action plan or a to-do list. If the planning process is grinding to a halt, due to certain steps not being completed, time for an action plan. This will put the committee on a timetable with specific tasks. It will help focus the team in the interim and move the process along.

POLICY MAKING

Include succession planning into the strategic plan so that it will lead to policy. Stueart and Moran place policy into categories: "originated, appealed, implied, and externally imposed." The originated policy is your basic policy. It can be appealed when needed or implied (wanting clarification). It can be externally imposed by the city, for example, with a public library or a university for an academic library.

Once policy is written and accepted, it then becomes a guide for the workplace. Within strategic planning, policies can be continually evaluated for effectiveness. The reason for policy is the need for a reference for how things are done. Succession planning affects staffing policy. Implementing it will change the way staff is viewed and promoted. The library must acknowledge that need and feel it is important enough to include as policy. Once succession planning is policy, employees understand more of what is required to rise in the organization and employers will know

what their talent pool consists of. Being clear with staff promotes a more trusting and hopeful (in terms of the career ladder) environment.

CAREER DEVELOPMENT

An important aspect of succession planning is career development. When one signs on with a library, that is a career decision. Whether one's career is developed is another thing. Does the library see the staff as a resource that can be cultivated? In general, staff who have worked together a while are aware of one another's strengths and weaknesses. Munde states, "there is potential for conflict among generations sharing the work and the workplace, but it could also be an historic opportunity to transfer leadership from one generation to the next in a manner that reflects both and that benefits our libraries." For example, instead of putting Liz on Facebook promotion because she is 25, maybe we should try Marje who is 55. Stereotyping staff, young or old, can inhibit their development. While social networking is easy for Liz, she may need more time understanding how to build a collection. Marje loves collection development but could benefit from learning something new. Rethinking how you look at employees and understanding their potential can improve your staff and give it depth, so that when someone leaves, there is internal opportunity.

Both Liz and Marje want the library to have a succession plan. Twenty-five-year-old Liz is discouraged because people stay at her library forever and whenever there is an opening, they do a nationwide search. Marje

thinks she should be next in line due to her experience, but someone else was hired with a more youthful perspective.

The library needs to realize that both Liz and Marje are important resources and it is time to address them as such and develop both into well rounded librarians. Years of collection development and reference desk experience are important while tech savvyness is also needed. Creating a succession plan will help Liz and Marje realize what is needed to move up or at least acquire some more hours. Liz is also outgoing while Marje is a bit understated. Maybe they can learn from each other. Marje can mentor Liz. Liz can observe Marje on the desk to acquire more specific reference skills. Liz can friend Marje on Facebook. The possibilities are intriguing.

CHANGE

The main reason for the succession plan is changing times. If nothing changed, there would be no problem. But people do retire and move on. If the experienced full time Reference Librarian has given two weeks' notice, there are likely people on staff who have been waiting for this opportunity. Now whether they are qualified or not is another question, and if they are, is the organization willing to begin with internal promotion? It is discouraging for employees to be overlooked in these situations because of the "grass is greener" approach of an external search. What if the search ended up simply with hiring a new MLS graduate? That would tell them that the library is looking for a newer different perspective. One way a librarian can advocate for herself is to discuss her ambitions with her supervisor. One can

also apply and compete anyway. If the library created a succession plan, then the librarian would at least have a sense of opportunity.

The flip side is that sometimes libraries have employees they do not want to advance. If one of their colleagues is a "bad egg," the administration certainly doesn't want to promote them. If that is a concern, there needs to be documentation regarding the weaknesses perceived and whether the librarian has been open to improvement.

AGING WORKFORCE

Due to the Baby Boomer generation, there is a large aging workforce. While many assume this will be a problem when the Boomers retire, the idea of retirement and working longer is changing due to longer life spans and the economy. It is important for succession planning to be in place whenever retirement is reached. There is also a need to be able to replace positions with those who have a similar skill set. But skill sets are also changing. In a disposable economy with rapidly changing technology, professional standards need to be valued. In planning, professional positions need to be defined and include an expectation of career currency. Staying current involves keeping up on library trends, technology and an eye on the future.

SKILL SETS

Another building block to succession planning is the idea of skill sets. This can be addressed in the strategic plan. Certain characteristics can be seen as integral to professional posi-

tions. These include adaptability, interpersonal skills, leadership and creative/analytical thinking. Singer suggests charting staff development needs. Being service oriented is a key element in librarianship and should not be forgotten in a rush to technology. In public libraries, it is advantageous to be a generalist while in academic and special, subject expertise may be preferred. Positions differ by type of library. In a public library, there is usually a director, department heads, and reference librarians. In an academic library, there is a much larger hierarchy with many more departments. In a special library, it is usually smaller with the emphasis on expertise. A research library, is specifically "attuned to the beat of funded research," according to Webster, so is dealing with researchers and grant writers. Also the different libraries report to different entities. The public library usually is part of the city or a library district with a board. The academic library is part of the college or university. Special libraries are usually parts of businesses like law or advertising firms so are often smaller in size and report to the company administration. Research libraries are most often academic libraries or affiliated with an academic program of some kind with a focus on funding for the future of research publications and resources. The patrons of the libraries differ in that academic librarians deal primarily with college students and professors. Public Librarians deal with all ages. Special libraries have patrons with a specific, often commercial interest. These entities must understand the need for the succession plan and the professional characteristics required.

The General Services Administration (GSA) of Government-wide Policy created a *Succession Planning Guide* which includes a generic skill set and a core competencies/ skills set for managerial positions. Below are a few examples from these lists:

- **Generic:** Core Competencies/Skills Sets-Managerial
- **Commitment:** Analytical
- **Presentation Skills:** Communication (oral and written)
- **Computer Skills:** Customer Service
- **Problem Solving:** Creative Thinking
- **Interpersonal Relations:** Decision Making
- **Customer Service:** Flexibility
- **Team Building:** Leadership

Stueart and Moran identify skills for today's managers as political, analytical, problem solving, people, financial and system.

THE PROFESSIONAL PIECE

One of the main reasons for succession planning is to protect professionalism. Sometimes a position is eliminated after a librarian resigns or retires, for cost cutting reasons. Or it is decided to use a paraprofessional on the desk instead. Or in an academic library, use students. The danger with this method is that the public may assume the paraprofessional is a librarian. The library profession can be undermined by this way of thinking. To ensure the future of librarianship, succession planning is a good idea. This will also change the attitude on recruitment, with more of an eye towards

the future. Mentoring can also be employed for younger librarians who may benefit from a more experienced perspective, especially pertaining to the reference interview. "Mentors can help build bench strength and talent in organizations by providing support to others to build their competencies in line with company needs," according to Rothwell. This links mentoring to succession planning and is helpful in involving the intergenerational workforce in the library's future.

STAFFING

Staffing is the main issue of the succession planning element of the strategic plan. Some questions to address when considering staffing are: Does staff need to increase, decrease or stay the same? What talents does the staff need to possess? Would collaboration be valuable? Where will the library be in five years?

In order to address these concerns, the strategic planning committee needs to analyze current staffing patterns and work flow. This includes assessing the talents of the staff and how they can best be utilized. If collaborative partnerships are expected, that needs to be included. The major question of where the library will be in five years provides the groundwork for what is needed. Once the committee has a clear vision of the future needs, the issues can be addressed.

Stueart and Moran discuss the pros and cons to internal versus external applicants. The pros for external candidates are a large pool to choose from and a new perspective. The cons are that is takes longer to hire and is more expensive. The new hire will also have to orient to a new workplace. The pros for internal candidates are high morale for staff (knowing the pool is smaller), accurate appraisal of performance due to familiarity and less risk due to being an unknown commodity. The con is inbreeding. While it is great to promote from within, if done too often, there could be a lack of new perspectives and ideas. Thus the succession plan has to take into consideration the talent pool at the time.

An "individual potential assessment form" that Singer incorporates is helpful as a template for analyzing your talent pool. Employees can be rated in seven categories: "dealing with change, customer intimacy, represents the library, achievement orientation, strategic/ critical thinking, self-awareness, and relating to others." This is handy for creating some targets of what would be required for a current employee to move up in status. A "talent profile" can be compiled to identify potential replacements for a position. Also, "an individual development plan" can aid in setting goals for employees and ensuring all parties understand the parameters.

In assessing employees, ethics should play a part. The employee handbook generally discusses expected behavior, if it does not this should be addressed either in the handbook or a separate document. As an employee moves up to more responsible positions, their ethical influence spreads into a larger realm. Administrators are held responsible for their staff's behavior requiring a greater commitment to reflect the values of the organization.

Rothwell offers ways to identify key positions, including "1. Pending or existing vacancy, 2. Organization charting, 3. By ques-

tioning, 4. Historical evidence, 5. Network charting, 6. Combination (of approaches)." Using his strategy, analyze your positions for competencies. Do a future job analysis and assess staff potential. Establish "work portfolios" and think of your team in terms of "bench strength." Rothwell uses the philosophy "analysis of the organization as to where need is demonstrated will help you identify key positions." These positions will have to be monitored as they will likely change over time and develop new characteristics. Because the workplace is fluctuating technologically, there needs to be ongoing review, once succession planning is in place, as to what competencies are required and whether a position remains key or relevant.

PROBLEMS AND SOLUTIONS

What if the idea of succession planning causes controversy? Maybe no one is interested, or perhaps they would rather go outside the organization for new talent? Problems do arise and then it is time for a campaign and/or presentation to educate the team as to the pros of succession planning for the library. Ask for feedback and concerns. Spark a discussion. Rivalry may be present and some members of the team may want to promote their own agenda to further their career. The strategic plan must be impartial and fair. That is why it is important to share the planning process library-wide.

In the event that all is not smooth sailing and problems crop up, here are some solutions to keep the ball rolling.

- **No consensus:** There may be general ambivalence. Promoting interest in succession planning clearly and concisely will help create allies.
- **Lack of ideas:** Reading current literature can at least provide a starting point. Share pertinent articles.
- **Time:** Everyone is busy and the plan may not be a priority. Emphasize its importance.
- **Lack of talent:** Talk up conferences, Webinars and research. Encourage developing ideas and skills.
- **Bad strategy:** In *Good Strategy/Bad Strategy*, Rumelet identifies some clues to bad strategy: fluff, failure to face the challenge, mistaking goals for strategy and bad objectives. Fluff is typically an idea without substance. Beware concepts that seem without purpose. In failing to face the problem, watch out for avoidance and denial. In mistaking goals for strategy, know that goals are ideas while strategy is the path to their realization. Bad objectives are poorly thought out and irrelevant.

TRENDS

In *Effective Succession Planning*, Rothwell identifies 10 key influential trends: "1. Need for speed, 2. Buyer's market for skills, 3. Reduced loyalty among employers and workers, 4. Importance of intellectual capital and knowledge management, 5. Importance of values, ethics, and competencies, 6. More software to support succession, 7. Growing activism of the board of directors, 8. Growing

awareness of similarities and differences in succession issues globally, 9. Growing awareness… in special venues, i.e. nonprofit, and 10. Managing a special issue, CEO succession."

Rothwell wrote about filling vacancies, "The race goes to the swift and the competitive advantage now goes to the organization that moves faster with better results." While it is currently a buyer's market for skills, "organizations that do not manage retention carefully- and that includes teaching managers how to treat people with civility and courtesy as well as empathy- will experience a dramatic uptick in turnover of top talent when business conditions improve."

Succession planning may also be an approached moderately and not employed across the board. It might work as a blend of internal promotion with external recruitment. There may need to be flexibility. Staff who fulfill the criteria for an open position will advance. If staff do not fulfill the criteria, there can be an external search. This gives scenario allows employers more options when filling vacant positions.

Rothwell discusses considering the type of organization. Government jobs may prohibit succession planning but have a variant like workforce planning. Nonprofits often combine a business/government model while some universities are usually committed to leadership development programs. (Rothwell, 2010)

NEW APPROACHES

Succession planning enables us to take a new approach to the hiring process and to the way the library is staffed. Viewing the organiza-

tion as constantly in flux gives us the ability to welcome change and not see our staff members as rooted positions. Staff across the board will be encouraged to develop core competencies in order to be well balanced while positioning them for possible recruiting in the future. While the onus lies with the employee to remain valuable, in exchange, management will then agree to reward with promotion. If the workplace is to return to an environment promoting stability and loyalty, then succession planning is a fitting option.

CHALLENGES

If succession planning is not a part of the organizational culture, there will be challenges in any quest to making it policy. A constant presence throughout the planning process is an important component of advocating for succession planning. Preparing a solid case will help deflect any negative criticism to a new way of dealing with staff retention and promotion. Remind the strategic planning committee of the trio: mission, values and vision. Relate how succession planning supports these three and enhances the workplace. The value of staff as a known commodity should be emphasized. Case studies of other libraries can be shared. It should be presented as an opportunity to build from within and create trust in library administration.

Some librarians might ask: What if our talent pools are not strong enough? The idea of developing staff through training can be promoted as an investment. Succession planning affects recruiting and changes the way potential applicants are assessed. It can

also be viewed as a way to build benchmark strengths within the organization.

What about internal competition? What happens when there are two or more qualified employees in the department vying for a plum position? The employees may welcome a smaller competition as opposed to opening up to an external search. Whenever a position opens, there is the possibility of internal competition. But, with succession planning in place, criteria will be clear so staff will have a better understanding of what is required to successfully secure the open position. Internal searches are also an opportunity for employees to be gracious if not chosen, yet have another chance to advance in the future.

How can succession planning be evaluated? Rothwell suggests three ways: anecdotal, periodic and programmatic. Anecdotal looks at a "case by case" basis, while periodic appraises program operations occasionally. Programmatic analyzes the succession planning program overall against "its stated mission, objectives and activities." (Rothwell, 2010)

LEADERSHIP

Another important aspect of succession planning is assessing leadership skills. Leadership qualities are usually evident regardless of position. In analyzing local talent pools, it is important to assess current employees' leadership potential. Per Bennis (*On Becoming a Leader*), ingredients for leadership include a guiding vision, passion, integrity along with curiosity and daring. Once again, vision comes into play. The employee who is part of a succession plan understands the big pic-

ture and looks at the organization as a whole rather than just one's own piece. Passion can provide much needed energy to any planning process. Passion also gives impetus to see a project through due to a strong belief system. Integrity is a key factor for this enables the administration to rely on the employee as one trusted to have sound judgment.

Curiosity is allied with creative thinking. The potential employee who is part of a succession plan is not a mere cog in the library wheel. Curiosity often leads to enlightenment and is necessary for problem solving. Daring requires action; the ability to try new things, to take a chance, and make mistakes due to trial and error.

Bennis offers factors on the future of leadership. He feels leaders should "encourage reflective backtalk" and "dissent." In this respect, different ideas can come to the table and pros and cons can be discussed. This is done in a respectful way. When the wheels of the committee are stuck, the ability to form new ideas comes to a halt. By encouraging an atmosphere for free thought, good ideas can surface enabling movement and contribution from various elements, not just the current management.

He also believes leaders should "possess the Nobel Factor: optimism, faith, hope." With this perspective, an employee is more resilient and can recover from any problems that occur. This also enables a manager to impart this to his or her team so that the spirit of the organization is positive and growing, rather than weighted down with discouragement.

Also, leaders "create strategic alliances and partnerships." (Bennis, 2003) One is

looking to bring people together in order to strengthen the organization. Encouraging employees to collaborate and join together toward common goals also fosters a sense of community. Employees that share the vision of the organization and are dedicated to its future success are the potential leaders that can be viewed as important resources to encourage and would benefit from being placed on a succession plan track. Watching the team in action helps planners to understand what employees are choosing to contribute and how invested they are. Some employees may not be interested in a succession plan and may be just fine where they are. It is from those who are interested and qualified that a talent pool can be built.

CREATIVE THINKING

The key to a productive ongoing strategic planning process is the encouragement of staff to bring forth ideas. Front line desk staff usually have several ideas on how to improve service. Common phrases are, "We should do this differently" or "I wish we could…" These types of things, when put into practice, can be very effective since the people doing the work see a lack and step up to offer improvement. Sometimes staff may assume management is disinterested, when in reality they are often busy with other tasks. When individuals see something that needs to be fixed, they should be encouraged to speak up. Whether it gets done or not, the effort to improve the library should be appreciated. Problems ignored are missed opportunities to improve the workplace and its perception. Because strategic plan-

ning is an ongoing process, new ideas can be introduced and considered on an ongoing basis in order to improve service. The ability to look at a situation outside of the box can be a factor in considering an employee for potential promotion or management training.

Succession planning also involves questions about responsibility. There may be a creative person on staff but do they really want to move up, say to a supervisory position? Tasks can be assigned to test their level of responsibility and discussions can be held to examine their future goals. Often asked at interviews is the question, "Where do you see yourself in 5 to 10 years?" That is a good question to continue asking at performance reviews. It will inform supervisors about what the employee's expectations are, and can aid in decisions to place them on a succession track.

In *The Accidental Creative*, Todd Henry talks about using creativity at work through the use of a study plan. He gives these criteria: 1. Where are you lacking information that you will need over the next three months? 2. What are you curious about right now? 3. What would be good for you? The study plan helps individuals stimulate ideas and provides a framework to apply them. Everyone creates or brainstorms in their own way, it is important to discover what works best for each person to relax and generate ideas.

Another good idea is to keep an idea log. While you may be brimming with ideas, now is not always the right time to present them. Keeping a log enables you to remember them and hopefully use them when the time is relevant (Henry, 2011).

Henry also discusses "dealing with the assassins of creativity." These include "dissonance" and "unnecessary complexity." While advocating brainstorming, if ideas are at odds, it can be a bit chaotic. In formulating goals and objectives, keeping it simple makes for a clearer strategy. General fear can also stunt success and create an inability to act and simply keep status quo (Henry, 2011). We organized information as libraries, we must also organize our ideas coherently.

RECOMMENDATIONS

Libraries should take proven ideas from the business world and apply them. Libraries contain strong talent pools from which to draw. Providing recognition and reward for accomplishments strengthens our community of practice. The "grow your own" mentality is a good philosophy for the profession. Librarians should ask themselves: What kind of library do you want to be a part of in the future? Opening up the planning process to all employees gives administrators a deeper pool of talent to draw upon. Employees should be encouraged to give input, be treated with respect, and shown that their value is appreciated by administrators. When looking at service models, it is important to examine the human factor. Librarians still have many patrons who sigh with relief when they are escorted to the stacks. Society has been so inundated with information that any help enabling people to access information in a timely way is appreciated. Employees who reflect the library's mission are employees to be valued. No one works in the library to

get rich. Communicating employees' value is an important part of succession planning. Succession plans should be flexible and open to revision as things change. When preparing the succession plan, expectations need to be spelled out and a need for adaptability required. Succession planning is a good tool for guiding hiring decisions but may not work well for every position. In terms of becoming a director, the requirements will certainly fluctuate by the time a new director is needed. Simply being next in line cannot be the main requirement. It would be great to move seamlessly up the ladder but that is rarely the case. A strong succession plan provides opportunity for growth and is not rigid.

When incorporating succession planning at a library, researching the subject is key. Succession planning is a newer subject and information on it can be found in both library and business literature.

Once researched, it is important to assess the library and consider whether it is appropriate or needed. The first question that should be asked: Are you a person of power within your organization? Those who are can more easily advocate for succession planning in the planning process. Those who are not in administration can attend open meetings, join committees when possible, and ask their supervisors what methods of input are available to them.

It is vital that those who are part of the planning process commit to seeing it through. Just because an item is on the agenda does not guarantee it will be addressed. While succession planning may be accepted as a great idea, it may also need to be fought for

and validated as sound business practice. Methods for campaigning can include writing a proposal highlighting the usefulness of succession planning, and circulating articles, case studies and Web sites supporting the proposal. It is important that the proposal and any arguments made demonstrate a direct correlation between the examples and the library. It is integral that those supporting succession planning attend meetings and offer positive solutions and scenarios. Planners can seek alliances to form a sub-committee. The workplace is changing and succession planning enables change to be dealt with in a prepared, informed way.

Have fun with creative thinking. Many times employees bemoan the fact that they cannot be creative at work. Brainstorming to improve the library can get their creative juices flowing. Encouraging staff to contribute ideas can improve efficiency and giving them credit for their contributions can build community. Focusing on ways to enhance the library experience for patrons and staff and mutual respect is ideal.

If things do not move quickly, exercise patience. So long as your idea is not completely struck down, bide your time and highlight it often.

Succession planning is also a Human Resources Department issue. You may have to see what their views on it are and whether any legalities would block it.

Universities should examine their peers and see how they have implemented succession planning. Take into account the size of an organization is important in choosing the best strategy.

It is essential to look at the organization as a whole and how libraries fit in. This should include observing how business is conducted and how positions are filled. Organizations are always looking to improve. Understanding how succession planning would improve the work environment can help to generate interest from staff.

Mentoring is vital. Helping young librarians in their career paths will create stronger librarians in the future. Experienced staff should be encouraged to share their expertise in helpful ways, and younger librarians can share new ideas. Create a balanced staff by challenging them, whenever possible.

Individuals should let go of their ego in committee work. Committees are not about the individual. The focus should be on how to feature each person's interests and how those interests can benefit the library. Consider how talent is assessed via performance reviews. Give staff opportunities to improve and grow. Communicate expectations.

Remember to try not to get overwhelmed. Break things down into steps. Seek help. The person in charge should recruit a strong planning team.

Evaluate what is being done. Check if ideas which have been implemented are working out. It is important to be flexible, what may have sounded great on paper may not work well in practice.

Keep a sense of humor! Think of strategic planning as an ongoing fluid process. It can be changed or reworked allowing new ideas to be incorporated into existing policies. Planning should be viewed as a positive experience that provides insurance for when things go wrong or change.

CONCLUSION

This chapter has provided an overview of the strategic planning process and how to begin to implement a succession plan. Libraries will need to form a strong identity via their mission, values and vision. They will want to assess the current situation. Are librarians part of the planning process? What role can librarians play? Can librarians begin thinking in strategic terms? Review the current plan and see if it needs an update and whether it involves succession planning. Be ready to plan. Brainstorm individually to list ideas that might make good policy. Formulate goals and objectives. Lay the groundwork for an environment that would be conducive to succession planning. Use resources discussed here and circulate ideas among the team. If this is an important component, then expend the energy to make it known. Do not wait for another time or for someone else to present it. Once a component has been introduced, the wheels have been set in wheels. Employees can begin building their skill sets. Supervisors can look at their talent pools to see what they have and whether continuing education might help. Identify those key positions where succession planning would help. Look around for leaders. Advocating for succession planning through the strategic plan will create benefits for any library.

RESOURCES

A useful resource to help with strategic planning is *Creating Your Strategic Plan: A Workbook for Public and Nonprofit Organizations* by John M. Bryson and Farnum K. Alston. This book is filled with worksheets that can be used for all different stages of strategic planning. The workbook style breaks down the process incrementally and is useful for providing structure to the planning committee.

Another handbook that takes on the different aspects of library management is *Library and Information Center Management* by Robert D. Stueart and Barbara B. Moran. While there are many business books on strategic planning, this applies the process directly to libraries.

Strategic Planning and Management for Library Managers by Joseph R. Matthews is a good basic handbook for an overview of the strategic planning process. *Succession Planning in the Library* by Paula M. Singer with Gail Griffith focuses on succession planning and is supported by the input of different libraries of "how they do it" along with charts and ideas.

Strategic Planning with Results breaks down the process into realizable steps and guides you along the way. *Effective Succession Planning* discusses in depth all aspect of succession planning but is not specific to libraries. A wealth of information and ideas.

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KEY TERMS AND DEFINITIONS

Creative Thinking: Generating ideas by brainstorming and free form approaches.

Mission: Usually one sentence that states your library's purpose.

Policy: Written guidance for the library.

Process: The methods used to enact policy.

Skill Sets: Groups of qualities needed for a certain position.

Strategic Planning: Using analysis to prepare for future change.

Succession Planning: The practice of creating an internal hierarchy and career ladder for current employees of the library.

Talent Pool: Staff abilities that you can draw upon.

Values: What the library stands for and believes in.

Vision: How you see the library in the future.

Chapter 9
Preparing Tomorrow's Library Managers:
Exploring Leadership and Succession Planning at The University of the West Indies Libraries

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ABSTRACT

This chapter reports on a study of leadership development and succession planning at The University of the West Indies Libraries. The research shows that in the absence of formal succession planning, leadership training takes place in tandem with the staff appraisal and career development process. The annual appraisal and assessment system provides the opportunity for staff who aspire to leadership positions to be guided in their career development and thus be better prepared when vacancies arise. The benefits provided to academic, senior administrative and professional staff—for example, funding for travel and professional activities, special leave for scholarly pursuits and other career development opportunities—are utilised by librarians to advance their careers. The chapter highlights the importance of strict adherence by library administration to the annual appraisal and assessment processes and staff use of organisational support for career development as integral components in leadership development and succession planning and implementation.

INTRODUCTION

The University of the West Indies (hereafter The UWI), is the only regional university in the English-speaking Caribbean. It was established in 1948, with its first campus at Mona, Jamaica and subsequent campuses at St Augustine, Trinidad and Tobago and Cave Hill, Barbados in 1960 and 1963 respectively. The Open Campus, with forty-two sites spread across sixteen territories was officially launched in June 2008.[1] There is a central governance system at the level of Chancellor and Vice-Chancellor, but each campus has its own Principal and local governing body.

The four Campus Libraries work together to fulfil their goals of being expert centres, providing modern study facilities with access to a wide repository of information, including unique Caribbean resources. However, each campus has its dedicated library system with a Campus Librarian and a cadre of professional and support staff. One of the four Campus Librarians has the coordinating responsibility as University Librarian for The University of the West Indies Libraries (hereafter The UWI Libraries).

The UWI Libraries were among fourteen Caribbean libraries which were surveyed in 2007 to determine their readiness to deal with succession. The majority of those responding (11), The UWI Libraries included, had informal succession programmes only.[2] The issue of leadership development and succession planning is, however, of acute importance at The UWI Libraries as the professional staff is highly skewed towards the older age demographic and it is anticipated that within the

next decade approximately 30% of them will be retiring. A significant number of these hold top level positions such as Campus Librarian, Deputy Campus Librarian, Head of Branch / Departmental Libraries or Head of Section and their departure will therefore create vacancies and opportunities for advancement for librarians on all the campuses. How will The UWI Libraries deal with the attendant leadership development and succession issues?

This chapter reports on an in-depth study of leadership development and succession planning at The UWI Libraries in the context of the overall theme of this book, "the importance of the development of library culture, policies, and documentation as integral parts of succession planning." This study will show that despite the absence of a formal succession plan, there are mechanisms in place which facilitate the preparation of staff to assume leadership positions on an ongoing basis. The University's annual assessment and performance appraisal system for senior administrative and professional staff categories, together with its employment benefit scheme, are effective tools which support leadership development. The culture of The UWI Libraries, as expressed in the criteria for staff advancement in the career path and in the execution of the processes for staff appraisal and assessment, takes cognisance of the development of leadership competencies as an integral component of professional development. The organisation is therefore able to recognise and nurture staff with leadership potential so that they are positioned to step into vacancies at the senior level when these arise. In this way, succession planning is achieved.

BACKGROUND

The UWI Libraries/Literature Review

It is a truism that while much has been written about succession planning in business literature, very little is to be found on the subject in the literature of librarianship and information science. What is the reason for this? The answer perhaps lies in a view expressed decades ago, that while business organizations are inclined to identify and groom those who are to succeed in leadership positions, in the case of educational institutions, including libraries, succession policy tends to be one of selection and replacement (Moore et al., 1983).

While there may be distinct advantages to grooming and nurturing talents from within the library, benefits may also be derived from recruiting externally. According to Whitmell (2002) growing your own leaders is a more positive and cost effective strategy for succession, while the search for eligible candidates only when there is a vacancy does not guarantee that the future needs of libraries will be satisfied. Indeed, very often the replacement process is long and may not necessarily result in the most suitable persons being selected to lead the organization. While Murray (2007) supports internal bench strengthening to facilitate emergency and long-term leadership at all levels, she posits that every library needs to recruit externally as a way of bringing new ideas, talents and experience into the system. An examination of recruitment patterns for replacing staff at the top levels at The UWI Libraries will reveal that both strategies - external recruitment locally and internationally and developing leaders from within - have been implemented in the past.

Curran (2003) discussing the academic library environment has indicated as follows:

Providing for the development and the replacement of key people on an ongoing basis is critical since academic libraries, regardless of size, will never manage themselves for as vital to a vision of where the organization is – where it is going…and so on – is the element of who will lead it in the future and who is presently being trained to direct and thus ensure its continuity. (p.137)

The UWI had a monopoly on the delivery of tertiary education in the English-speaking Caribbean for many years. Consequently there is a tendency for The UWI Libraries to attract and retain professional staff because of its higher salary scale as well as the limited options available to professionals desiring a career in academic librarianship. At most of the campuses, it is well known that over the years, staff have been drawn from other libraries locally and internationally. Within more recent times, the increased demand for higher education throughout the region and the growing number of tertiary level institutions have resulted in greater competition for the limited supply of trained library and information professionals locally and regionally.

The UWI does have mechanisms in place which respond both to the shortage of trained professionals and the development of leaders. The opportunity is provided for staff who have served the university for a specified time to pursue degrees while still being employed full-time. A number of the librarians who participated in the study, approximately 20% of the respondents across the three main campuses,

were members of the para-professional staff before joining the professional ranks. These represent persons who have taken advantage of such training opportunities.

Stueart and Moran (2007) define leadership as "an ability to inspire confidence and support among followers that permits a group to reach its goals" (p. 322). However, regardless of how leadership is defined, a common thread throughout the literature is that there are certain core competencies that leaders are expected to demonstrate. Singer and Griffith (2010) posit that core leadership competencies are the kinds of skills, behaviors and personal characteristics all employees are expected to generate. Those library leaders with these core competencies will have successful libraries while those who lack them will find it difficult to initiate, facilitate and deliver successful services (Ammons-Stephens, Cole, Jenkins-Gibbs, Riehle, & Weare, 2009).

It has also been observed that the competencies that might have been adequate for organizational leadership in the past may not necessarily be sufficient to meet present needs. Today's leaders operate in an environment which demands better organizational accountability and they must grapple with greater competition than before, changing organizational structures, increased application of team-based decision-making and participative management. They must also lead in the face of the challenges presented by greater use of information technology applications, a diverse client base, as well as the need to attract funding and other resources externally (Winston & Dunkley, 2002).

The importance of these core competencies is supported by Ammons-Stephens et al. (2009) who after much reading, research and interviews developed a leadership model comprising four specific and seventeen broad leadership competencies. They identified cognitive ability (problem-solving, decision making and reflective thinking), vision (global thinking, creative/innovative, and forward thinking), interpersonal effectiveness (culturally competent, accountability, team building, development, inspirational/motivational communicational skills), and managerial effectiveness (change management, resources management, strategic planning, collaboration, and flexibility/adaptability). A fifth category, personal attributes (principled/ethical, honest, humble, gracious, teachable) was later added.

Al Ansari and Al Khadher (2011) are also in support of core leadership competencies because of their many values. Their study to determine important competencies for success in librarianship positions in Kuwait identified 20 such leadership competencies clustered into six categories:- managerial effectiveness, cognitive, social, motivational, personal and occupational competencies. It showed that more importance is placed on those competencies with inter-personal skills and less on those with cognitive skills. They were also of the view that knowledge of leadership competencies is most important for library leaders trying to advance their careers but it can also be of benefit to curriculum development in library and information science, and veteran library leaders hoping to develop the profession.

The U.S. Department of Justice Libraries' succession plan places today's leadership attributes into three broad categories, namely managerial qualities, personal characteristics and knowledge about one's profession and makes a number of suggestions for staff development along these lines. These include fostering creativity, innovation and risk taking; a multi-dimensional mentorship program; staff participation in leadership, management and library profession training programs; and involvement in professional organizations and team work. For knowledge management some of their suggestions are cross-training, written procedures and communication with management. To enhance professional development, the group advocates self-assessment, new employee orientation and individual development plans.

Storey elaborates on the individual strategic plan which is, "a deliberate process of 1) becoming aware of self, opportunities, choices and consequences, 2) identifying career related goals and 3) programming work, education and related developmental experiences to provide the direction, timing and sequence of steps to attain a specific career goal" (as cited in Werner and Desimone (2006, p.461). Matthews (2002) highlights the benefits to be derived from such a plan, noting that it will enable librarians to add accomplishments incrementally to their résumé. It will foster job competence through increased knowledge gained from reading the publications of the professional and scholarly associations to which they are affiliated, as well as attendance at conferences. She stressed however, that mere conference attendance is inadequate so there is the need to present papers, publish, undertake research and serve on executive boards of professional associations. Arnold, Nickel, and Williams (2008) noted that attendance at leadership institutes is professionally valuable and that those who participate find it easier to move into leadership, management, and administrative roles.

The assessment criteria on the basis of which The UWI librarians at all levels are evaluated to determine their eligibility for advancement in the career path do have a direct bearing on the development of leadership skills and competencies. Three broad areas, "professional competence," "leadership" and "creativity and innovation" embody the skills and competencies expected of library leaders as identified in the literature discussed above. The assessment /evaluation process therefore puts an onus on the librarians to engage in professional activity which would result in the development of these skills and competencies.

In The UWI context, professional competence deals directly with the knowledge of and effective application of library policies and procedures ; awareness of current trends and important developments in library and information science and related areas; professional growth through continuing education and training. The UWI librarians are also expected to be effective communicators with the ability to present ideas and concepts both oral and written.

The leadership competencies also speak to the ability to initiate, plan, organize and implement a programme of work. It also involves managing a unit, that is, to assign work skillfully and keep it running smoothly,

to delegate responsibility and to guide the work of others. Also included is the capacity to train, develop and motivate staff as well as to evaluate and assist in their development. Underpinning these abilities is the need for effective interpersonal skills. The contribution of team building and leadership by example are also considered as necessary attributes.

In the area of "Creativity and Innovation," The UWI librarians are expected to demonstrate the ability to analyse problems and propose innovative solutions. In particular, they are expected to show evidence of initiative and resourcefulness by developing resources or solving bibliographic or administrative problems. Their scholarship portfolio should include evidence of scholarly work completed or in progress (e.g. books, articles, reviews, bibliographies, indexes, research studies, reports) as well as the presentation of scholarly papers to professional, educational or other organizations. In a similar vein, a study of the research learning needs of librarians at the University of Saskatchewan makes reference to the Canadian Association of University Teachers' endorsement of the scholarly activities of academic librarians who should "have the right to devote up to 40% of normal workload to the pursuit of research, study, educational and other scholarly activities" and that these are to be given due consideration in performance appraisal, promotion, and tenure evaluation (Schrader, Shiri, & Williamson, 2012, p. 149).

It is therefore evident from the foregoing discussion that leadership development is integral to succession planning within any organization. Singer and Griffith (2010) define

succession planning as developing talent in order that individuals will have the skills to take on greater responsibilities, perform their jobs better and assume an expanded management or leadership role. Library professionals with the right blend of core competencies will find it easier to advance into leadership positions. Simultaneously the library's "bench strength" will improve and ultimately its succession needs can be met.

When a decision is made to introduce a succession planning programme into the library, it is recommended that certain critical inputs be in place. Singer and Griffith (2010) identify these as commitment from top management, ownership, vision of what the library needs, snapshot of present conditions, openness to nontraditional sources of talent, and objectivity. After contemplation and decision of these factors there are steps which must be followed to arrive at best results. These are analyzing the demographics of key positions; identifying potential employees for leadership positions; assessing candidates' strengths and weaknesses, and developing training programs to build the requisite leadership competencies which are critical attributes for succession (Nixon, 2008).

Matthews (2002) has indicated that the annual job appraisal or performance review provides incentives for personal and professional development. The experience at The UWI Libraries, also demonstrates the usefulness of the annual assessment process in preparing staff for leadership positions. Each library professional, in consultation with the supervisor, is required to set annual objectives based on the Libraries' strategic and

operational plans. In the process of setting and working through these objectives, the institutions' strategic directions, including issues such as training needs are discussed, planned and realized. At the end of the year, the staff member completes a self-assessment form, providing a summary of the year's performance, and also indicating the career path envisaged and the training needed for it. The candidate's immediate supervisor also completes a performance assessment which is discussed with both the supervisor and the Campus Librarian.

The annual assessment exercise therefore also allows for continuous monitoring of the staff member's career planning and professional development. In this way staff members who have aspirations to assume leadership roles in the organization can be given assistance, guidance and the necessary training to fulfill their professional goals.

The UWI librarians are subject to a more formal performance review when they become eligible for renewal of contract, usually every three years, for the award of tenure after six years of service in the organization or when they are being considered for promotion to a higher grade in the career path. As part of this more formal exercise, a cross-campus Evaluation and Promotions Committee considers the candidates' assessment forms for the three preceding years. This process has made adherence to the annual assessment exercise mandatory for The UWI Libraries, unlike other departments within the university where assessment of faculty is done on a campus by campus basis. The result is that issues of staff career development vis-à-vis leadership potential have been kept in focus.

METHOD AND RESEARCH DESIGN

A survey was designed to collect a wide spectrum of information about staff employed in professional positions in The UWI Libraries. More specifically, it also sought to address the following questions:

- In the absence of a formal succession planning programme, are the mechanisms in place at The UWI Libraries adequately addressing the issues of leadership development and succession?
- Are the initiatives being taken by The UWI librarians adequate to equip them for leadership and succession?

The instrument was a survey questionnaire, consisting of fifty questions (See Appendix B). The areas examined were the demographic profile of the librarians, as well as their professional activities covering the five-year period 2004–2008, including continuing education and professional development, scholarly output and extra-departmental service. The survey also included questions designed to allow the librarians an opportunity to express their views and recommendations on succession planning and to advise their colleagues and successors on how they might prepare themselves for leadership positions.

Ninety-four librarians at the four campuses of The UWI were invited to participate in the study. This included eighty-eight librarians on the professional establishment at the four campuses, another library professional / lecturer in the Department of Library and Information Studies (DLIS) at Mona, as well as five recent retirees who had all held senior positions and

whose contribution would therefore be valuable to the analysis. Sixty-nine completed questionnaires were received, representing a response rate of 73.4% with adequate coverage from the four campuses (see Table 1). Results will be discussed in terms of the number of responses to a particular question rather than the total number of participants surveyed.

TRAINING AND DEVELOPMENT OF LIBRARY LEADERS

Staff Profiles and Career Choices

The career path which exists within The UWI allows librarians to rise to the highest level once they meet the approved criteria set out as part of the performance appraisal system. While many UWI librarians began their career at the lowest rung of the professional ladder, Librarian I/Assistant Librarian, close to 50% joined the establishment at the second level, Librarian II/Librarian III below the bar. This is not surprising, since the minimum requirement for positions in The UWI Libraries is three years post-qualification experience. The survey data indicated a strong tendency to develop leaders from within the organisation

with very few persons being hired from outside to senior positions: only one respondent each came in at the Librarian III and Campus Librarian level respectively. The data also revealed that 21.7% (N=15) of the respondents attained the ranks of Senior Librarian I and above, which represent the top positions in The UWI Libraries.

There was a range of responses about what career path UWI librarians envisioned for themselves (see Table 2) and it is also evident that not all professionals who start off as academic librarians intend to remain within The UWI Libraries. There was a 62% response rate (N=43), of whom 36.2% aspired to leadership positions, such as Campus Librarian, Deputy Campus Librarian, University Librarian, or Head of Section. Some persons (7.2%) were undecided or unsure about their career goals. A small number of respondents (10.1%) expressed the desire to be in specialist areas: serials; reference services; cataloguing; information technology. Two persons identified library human resource management as their desired area of specialization; this portfolio is carried by the Deputy Campus Librarian on at least two campuses. Future career goals such as consultants, lecturers/

Table 1. Responses received by each campus

	Total number polled	Librarians responding	Retirees responding	Others responding	Total Responses
St. Augustine	36	29	2	0	31
Mona	31	23	2	1	26
Cave Hill	15	8	1	0	9
Open Campus	6	3	0	0	3
Total	88	63	5	1	69

Table 2. Career path envisioned by The UWI librarians

Career path	No. of respondents	Percentage
No Response	26	37.7
Leadership	25	36.2
Specialist	7	10.1
Other	6	8.8
Undecided	5	7.2
Total	**69**	**100**

professors, or administrative positions outside of the library were identified by some (8.8%) of the respondents.

The data clearly demonstrated that there are ample opportunities for a wide range of professionals to be exposed to different levels of leadership and management within the organisation. Thirty-five professionals (54.7%: N=65), are in leadership positions within the libraries. These include the Head of a Branch / Faculty / Departmental Library, or of a Unit (e.g., Cataloguing Unit or Social Sciences Division), or Section (e.g., Users Services or Technical Services).

There was also confirmation that the staff appraisal and assessment exercise which underpins leadership training and develop-

ment was being adhered to. Most respondents (86.3%) had been subject to a performance appraisal within the final two years of the study.[3] The vast majority of participants (N=67) responded to the question regarding the benefits of the annual performance appraisal. Thirty-eight indicated that the annual review process had benefitted their professional development, while twenty-nine were of the opposite view. Those who responded positively, as well as two others (N=40), as indicated in Table 3 below, were more or less in agreement with the benefits derived from the annual performance appraisal.

The majority of respondents to the question on the alignment of their strategic goals with that of the organization (62.7%: n=42) were

Table 3. Benefits derived from annual performance review

Benefits	No. of Respondents (N=40)	Percentage
Feedback motivates me to improve performance	22	55
Review indicates if performance is helping to achieve the library's goals	22	55
Review highlights opportunities/needs for further training	18	45
Feedback motivates me to maintain performance	17	42.5

in agreement with so doing. Those who did not see the need to do so (37.3%: n=25) are perhaps doing themselves a disservice in the context of career advancement. Strategic goals are important for the development of any organization. Staff should not only know what the Libraries' strategic goals are but they should also be committed to ensuring their realization. In collaboration with their supervisors, they should plan their study and training as necessary, in order to be equipped to achieve these goals. In this way, they will make themselves more valuable to the institution while preparing for professional advancement. While the administration has a responsibility to ensure that staff will be prepared to carry on the functions of those who retire, the staff member also has a duty to make sure that she/he is prepared academically and professionally for the desired career path.

Professional Competence

The study further examined precisely what The UWI librarians were doing to meet the various criteria which relate to the development of leadership skills and competencies as defined by the performance appraisal system. As a means of assessing professional competence, the continuing education and professional development opportunities available to and pursued by them were examined.

Results showed that The UWI librarians do engage in the reading of the professional literature which would provide knowledge and awareness of new trends and developments as well as suggested areas for their further research and publications. Seventy percent (70%) read LIS journals on a regular basis (see Table 4). As was expected, the two most widely-read journals deal with academic librarianship in general: *College and Research Libraries* and the *Journal of Academic Librarianship* were read by 52% and 40% respectively. Fewer respondents (32%) read *Library Management* which is essential for informing them about leadership in libraries. The data also confirmed an interest in niche areas by some who read specialist journals such as *Reference and User Services Quarterly, Reference Services*

Table 4. Top journal titles read by the UWI librarians

Top Titles read	No. of respondents (N=50	Percentage
College and Research Libraries	26	52
Journal of Academic Librarianship	20	40
Library Management	16	32
Journal of Library and Information Science	11	22
Cataloguing and Classification Quarterly	7	14

Review, Library Hi-Tech, Collection Building, and *Serials Librarian*.

Some respondents also included non-library and information science periodicals, such as *Educause* and *Chronicle of Higher Education* among the other titles read, indicating awareness of the value of the literature of other disciplines to their functioning as LIS professionals.

Conference attendance, which also provides an opportunity for professionals to keep abreast of changes and developments in their field, to network with other colleagues from various institutions and to learn best practices from peers, was also examined. Forty-eight percent (48.1%) of The UWI librarians attended at least one library and information professional conference per year; very few, less than 10%, attended conferences twice per year, whilst 20.4% attended biennially (see Table 5). More than 22.2% of respondents were in the "other" category: they were unable to measure the frequency of their attendance, as it varied or never happened. One respondent in this category was guided by the relevance of the conference content to his/her area of interest.

Another respondent attended "education ... or other general regional conferences." Only one respondent, most likely a recent employee and/or new professional, had never attended a conference.

In response to the question on number of conferences attended, the data shows that within the period of the study, The UWI librarians attended an average of four conferences (mean= 4.51; median= 4; N=54). Fewer than 25% attended only two conferences within the period. The maximum number of conferences attended by any one librarian amounted to 13, which averages approximately three conferences per annum.

Generally, the reasons for conference attendance indicate that The UWI librarians are a motivated group of academic librarians who are seizing opportunities for continuing education and career development (see Table 6). Fifty-nine persons attended a conference mainly because it is in keeping with their career interests and goals (52.5%) or because of the opportunity to present a paper (44.3%). The presentation of a conference paper involves an undertaking to conduct research, write and

Table 5. Frequency of conference attendance by The UWI librarians

Responses	No. of respondents (N=54)	Percentage
At least once per year	26	48.1
Twice per year	5	9.3
Every two years	11	20.4
Other	12	22.2
Total	54	100

Table 6. Reasons for The UWI librarians attendance at conferences

Responses	No. of Respondents (N=61)	Percentage
All items listed were selected	13	21.3
Conference theme in keeping with career interests and goals	32	52.5
Opportunity to present paper	27	44.3
Opportunity to visit the country where the conference is being held	18	29.5

publish, an activity which is encouraged by The UWI Libraries.

The data related to attendance at management or leadership training courses revealed that most of the librarians holding leadership positions at various levels had been exposed to such training and that there was some commitment on the part of the administration to leadership development. The majority (56.1%) of respondents had attended at least one such course, while 43.9% had not done so (see Table 7). The viewpoint expressed earlier on the value of leadership training institutes by Arnold et al. (2008) is borne out by the fact that at least five of the senior librarians in The UWI Libraries had attended the Association of College and Research Libraries (ACRL) / Harvard Graduate School of Education Leadership Training Institute for Academic Librarians.

Of those attending management and leadership workshops and courses, thirty-three respondents indicated the level of support received from the library administration to attend (see Table 8). Nearly forty percent (39.4%) were encouraged to attend and received minimal support, while 21.2% received neither encouragement nor financial support. Approximately twenty-eight percent (27.3%) received full financial sponsorship to attend management or leadership courses, while 12.2% got partial sponsorship.

There was also evidence that The UWI librarians were prepared to undertake further tertiary level training to improve their professional skills. Most of the 61.2% who had done academic courses had undertaken at least a Master's degree and two persons were pursuing the PhD degree. Former Diploma graduates from The UWI Department of Library

Table 7. Leadership or management training courses attended in review period

Responses	No. of respondents (N=57)	Percentage
None	25	43.9
1 or 2 attended	20	35.1
3 or more attended	12	21.0
Total	57	100

Table 8. Library administration support for attendance at management and leadership workshops

Level of Support	No. of respondents (N=33)	Percentage
Minimal	13	39.4
Full	9	27.3
None (Self-sponsored)	7	21.2
Partial	4	12.1
Total	**33**	**100**

and Information Studies took advantage of new offerings in the Department to upgrade their qualifications to the Master's degree.[4] The second largest category did "other" courses, at the Certificate or Diploma level, which included a range of on-line courses relevant for developing leadership competencies: - project management; leadership training; human resource management. Participants also pursued professional library courses in Academic Library Management, Preservation Management, and Information Literacy from ACRL and Research Methods from The UWI Department of Library and Information Studies. The latter was offered with the intention of equipping librarians with skills necessary to meet the scholarly publishing requirements necessary for advancement in the career path.

The incidence of The UWI librarians participating in fellowships, attachments or exchange programmes which also have the potential to aid in their professional development was also studied. Whereas the majority (63.2%) had never had an attachment experience at another library, some have benefitted from fellowships and attachments at libraries overseas, mainly in North America and

Europe. At least two respondents were sent on overseas attachments by the library administration to hone their management skills and were subsequently appointed to the top two positions at one of the Campus Libraries when they became vacant. One reported that a three-month attachment at a university library in England observing management practices was a very valuable experience, in terms of improving self-confidence and providing exposure to useful behaviour patterns of top managers. Others also commented that based on their experience, either they had gained additional knowledge and skills or were able to improve library services.

Scholarship as Creativity

The scholarship output of the librarians was examined not only because of its importance as a criterion for advancement but it is also generally felt among leading professionals in the region, that Caribbean librarians also have a responsibility to contribute to the literature of the profession, especially in so far as it relates to practice and experience within the region. According to the data for the review period, just over 65% of The UWI librarians presented papers at professional or other conferences,

a privilege afforded them by their membership in professional associations (N=66). Forty-three librarians presented an average of 2.55 papers with the maximum number of papers presented by any one respondent being eight. Most respondents presented at least two papers. In all, the forty-three UWI librarians produced a total of one hundred and nine conference papers. Other evidence of scholarly activity included bibliographies, reports, posters, manuals and discussion papers. Although these are not 'publications' in the strict sense, they do contribute to the literature on Caribbean librarianship. A high percentage of the published works (68.1%) appeared in books, periodicals or conference proceedings. When aggregated, the number of publications by all respondents was one hundred and one. There is a trend to publish more periodical articles than books or book chapters. What is commendable, however, is that the largest number of items (36) were articles appearing in peer-reviewed publications (see Table 9).

Leadership Development through Extra-Departmental Service

The UWI librarians are also given credit for their participation in activities outside of their normal library duties, both within the university and in the wider local, regional or international arena. Apart from being a means of acquiring additional skills and competencies, these activities have the potential to deepen awareness and appreciation of the roles and functions of other Departments within the University and to encourage collaboration with academic colleagues. When asked about professional service outside of normal library activities, the two most frequently cited responses (see Table 10) were "special committees" (69.1%) and "workshops" (65.5%). With regard to their participation in committees, boards and other University bodies, thirty-seven respondents have served on a University Board or Committee, while thirty have not. The most frequent areas of service are Faculty Boards (67.6%) and Campus

Table 9. Publication output

Categories	No. of respondents (N=47)	Percentage
Articles (peer reviewed)	36	76.6
Articles (non-peer reviewed)	24	51.1
Book chapters	19	40.4
Books	11	23.4
Others	11	23.4

Table 10. Service outside of normal library activities

Activities	No of respondents (N=55)	Percentage
Special Committees	38	69.1
Workshops	36	65.5
Seminars	27	49.1
Major exhibitions	26	47.3
Outreach	22	40.0
Others	1	1.8

Committees (51.4%). Two respondents served on Staff Union Committees and one on the University Council (see Table 11).

In the area of outreach activities, close to 90% of respondents were members of their local Library Association while 50% had served on its Executive. Others had served as members of working parties, sub-committees, as liaison officers or representatives of a particular sub-group. The number of librarians who were members of other local, regional and international professional and scholarly associations[5] was somewhat lower - approximately 78% of the sample (N=53). The level of participation in these organizations varied. Fifteen of the fifty-three respondents (28%) held executive offices in these associations.

Generally, it is expected that by engaging in these activities, The UWI librarians also got exposure to other functions which required leadership skills - coordinating, planning, organizing, public speaking and other communication skills. The knowledge and experience acquired as well as the personal and professional networks created, can prove to be beneficial for those who eventually assume positions at higher levels of management within The UWI Libraries.

Mentoring in Practice

Mentoring, which is done either formally or informally in many institutions, is considered an important strategy for developing young professionals for leadership succession and although there is no formal mentorship

Table 11. Participation in UWI committees, boards and other bodies

Areas of Service	No. of respondents (N=37)	Percentage
Faculty Board	25	67.6
Campus Committees	19	51.4
Academic Department Committees	7	18.9
University Committees	5	13.5
Academic Board	2	5.4
Other	3	8.1

programme for library staff at The UWI, some mentoring has taken place (see Table 12). There was a high response rate (98.6%: N=64) to the question on mentoring. While most persons (51.6%) did not have a mentor, 48.4% have been involved in mentoring (see Table 12) and recognize its benefits.[6]

Cross tabulation revealed that most librarians in top management - all but one of the librarians who had attained the levels of Deputy and Campus Librarian - had been mentored. Interestingly, the same did not apply to the librarians at the middle-management level where the majority at that level (63%) had not had mentors. However, at the lower

rung, more than half the number - 51.6% - have had mentors.

In most instances (44.4%), the mentor was responsible for proposing the relationship, whilst in 22.2% of the cases, the mentee initiated it (see Table 13). On a few occasions (5.6%), the mandate for the relationship had come from the library administration. The predominant response in the "other" category was that there was a spontaneous coming together of mentor and mentee.

Regarding the benefits of mentorship in general (see Table 14), those responding indicated that the honing of professional skills (61.1%) and the improving of self-confidence

Table 12. Level of librarians who have had formal or informal mentoring

Level of librarians	No. and percentage of respondents (N=64)	Have had a formal or informal mentor?		
		No	Yes	Total
Librarian II and below	No. of respondents	15	16	31
	%	48.4	51.6	100
Librarian III thru to Senior Librarian III	No. of respondents	17	10	27
	%	63.0	37.0	100
Deputy or Campus Librarian/Professor	No. of respondents	1	5	6
	%	16.7	83.3	100
Total	No. of respondents	33	31	64
	%	51.6	48.4	100

Table 13. Origin of the mentorship relationship

Responses	No. of respondents	Percentage
Mentor	16	44.4
Other	10	27.8
Self	8	22.2
Library Administration	2	5.6
Total	36	100

Table 14. Benefits of mentorship

Benefits	No. of respondents (N=36)	Percentage
Helped to hone professional skills	22	61.1
Improved self-confidence	20	55.6
Provided career information	17	47.2
Received guidance with writing papers	16	44.4
Received advice to deal with interpersonal problems	7	19.4

(55.6%) were the most popular benefits. The data therefore clearly shows that although mentoring has not been widely endorsed formally by administration at The UWI Libraries, the value of mentorship is generally recognized and several librarians are engaging in its practice.

Institutional Support for Professional Development

The research also highlighted the fact that the benefits provided to all academic and professional staff have been utilized by the librarians in support of their career advancement. Participants were asked to indicate which benefits they had utilized and the results are given in Table l5.

The majority of respondents had made use of the annual travel grant (83.6%) and the study leave (75.4%). This is not surprising since the relatively high percentage of librarians who attended conferences in the range of twice per year and once every two years (77.4%) would have accessed these benefits in so doing. The lesser used institutional visit allowance, accessed by 37.7% of respondents, is available annually for visits to other institutions overseas. Similarly, the Campus research grant, used by 27.9% of the librarians, also provides additional funding for travel, conferences, research assistance, equipment and publication costs. A sabbatical, which is a grant of one year of paid leave to pursue an approved programme of study or a research

Table 15. Staff benefits accessed by The UWI librarians

Benefits available	No. of Respondents (N=61)	Percentage
Annual travel grant	51	83.6
Study leave	46	75.4
Institutional visit allowance	23	37.7
Campus research grant	17	27.9
Sabbatical	16	26.2
Assisted leave	6	9.8
Fellowship leave	4	6.6
Special leave for scholarly activity	4	6.6
No Pay leave	4	6.6

project, was used by 26.2% of the respondents in the period under discussion. The least cited benefits were "assisted leave" (9.8%), "fellowship leave" (6.6%), "special leave for scholarly activity" (6.6%) and "no pay leave" (6.6%). An annual "book grant" which is another benefit offered by The UWI was cited in the "other" category by one respondent. However, this grant is widely used by all librarians for the purchase of books, journals, research materials and equipment.

The data on the academic and professional outcomes of the utilization of staff benefits, (see Table 16) revealed that most librarians felt that their research and publication objectives, 57.9% and 52.6% respectively, were realized as a result of the benefits provided by The UWI. Attendance at conferences and workshops was ranked second by the librarians, 52.6% and 50.9% respectively. Not unexpectedly, librarians who used the benefits to upgrade their professional and academic qualifications were fewer in number. Approximately a quarter of the respondents (24.6%) used the benefits to acquire the Master's in Library Science degree and 5.3% for their Bachelor's degree.[7] In the

"other" category, librarians indicated that the staff benefits were used for attendance at courses toward the doctoral degree and other short courses in their area of specialty.

Leadership and Succession

The findings on The UWI librarians' readiness for leadership and succession, (see Table 17), show a response rate of 84.1% (N=58), with 46.6% of respondents indicating a high level of readiness for leadership and succession - a rating of between 4 and 5. Those indicating a mid-level of preparedness amounted to 41.4% whilst a mere 12.1% indicated a low level readiness (of 1 or 2). The high percentage of responses for high and mid-level readiness, confirms that librarians have embraced opportunities to prepare for succession and leadership. A major factor contributing to this readiness is the utilization of the many benefits provided by University administration.

Table 18 shows that the response rate to the question of the Libraries' preparation practices for leadership and succession was similar 85.5% (N=59), although the findings

Table 16. Outcomes from staff benefits accessed

Outcomes	No. of Respondents (N=57)	Percentage
Carried out research	33	57.9
Completed publication	30	52.6
Attended professional conference	30	52.6
Attended professional workshop	29	50.9
Gained Master's degree	14	24.6
Gained Bachelor's degree	3	5.3

Table 17. Level of librarians' readiness for leadership and succession

Ratings	No. of respondents (N=58)	Percentage
High	27	46.6
Mid	24	41.4
Low	7	12.0
Total	**58**	**100**

Table 18. Level of libraries' preparation for leadership and succession

Ratings	No. of Respondents (N=59)	Percentage
Low	33	55.9
Mid	17	28.8
High	9	15.3
Total	**59**	**100**

reveal that 55.9% of respondents rated the library's preparation practices for leadership succession as low, 28.8% as mediocre and only 15.3% as high. This perhaps suggests that the majority of librarians perceive that they have had to plan and pursue professional development on their own account, and that intervention by the library administration on their behalf is either minimal or non-existent. However, other evidence indicates that some of librarians - for example, see Tables 7 and 8 - have not only utilized the opportunities for leadership training and professional development, but have also been actively supported in so doing by the library management.

Benefits of Succession Planning

The vast majority of survey participants, 65 out of 69, responded in the affirmative to the question of whether a formal programme of succession planning should be instituted at The UWI Libraries, while three opposed and one did not respond. Those in support were generally in agreement with the suggested benefits as indicated in Table 19.

Other reasons for supporting a formal succession programme given by the respondents were the opportunities it presents for securing institutional knowledge, for motivating younger professionals to prepare themselves

Table 19. Benefits of a formal succession planning programme

Potential Benefits	No. of respondents (N=65)	Percentage
Increase opportunities for librarians with potential for future advancement	59	86.8
Identify skills needed to accomplish the Library's goals	57	83.8
Enable the filling of key positions mainly from within in a timely manner	56	82.4
Contribute to the successful implementation of the Library's strategic plans	52	76.5
Prepare several people to assume key positions	52	76.5
Retain talented librarians in the organization	52	76.5
Ensure that self-directed career development is aligned with the Library's strategic plans	49	72.1
Implement specific programmes designed to accelerate the development of high potential librarians	48	70.6
Identify and introduce external talents when needed in a timely manner	48	70.6

for leadership positions and for promoting a climate of fairness and equality.

The three respondents who were opposed to a formal succession planning programme feared that such a programme could "discriminate against some librarians." Two were of the view that the measures currently in existence provide adequate preparation. The view was also expressed that succession planning is never clear cut, and should not be embarked upon.

Recommendations from Survey Participants

Although there was strong support for formal succession planning, respondents also had certain concerns and made recommendations as to what might be included in a formal plan. According to them, succession planning should be on every senior manager's job description and be part of his/her performance review. It should take place throughout the libraries at all staffing levels and should include a structured mentorship programme

as a means of giving guidance to younger professionals on to how they might use their benefits to advance their career. A succession planning programme should avoid partiality and have well-defined criteria regarding potential candidates based on their competence and leadership capability and not on seniority. The library administration should take steps to correct the perception that scholarship is the only important criterion for advancement. The programme should be openly and clearly communicated to all stakeholders.

Librarians who were desirous of getting into leadership positions were also advised to undertake career planning. This would involve being knowledgeable about the strategic plans and policies of the library and aligning their goals and objectives accordingly. They should always meet set targets and strive for excellence. They should acquire the necessary academic qualifications, improve on job competencies and knowledge of good management practices through attendance at seminars, workshops and short courses and

keep abreast of trends and developments in the profession by reading the literature. They should become visible locally, regionally and internationally by seeking and accepting roles, responsibilities and even professional attachments outside of their normal job description through professional associations and networks. They should also seek out a mentor /support group.

CONCLUSION

Although there is no formal succession planning programme within The UWI Libraries, the evidence suggests that leadership development which is a critical factor in succession planning is of major importance. Within the context of the university's policies and practices there are adequate mechanisms to support the development of the leadership potential of capable staff. The study has shown that this obtains at The UWI Libraries where a significant number of the professionals have been able to rise to higher levels of management.

The annual appraisal and assessment system coupled with strict adherence to the process have created the opportunity for staff who aspire to leadership positions to be guided throughout their career development and thus be prepared to compete for leadership positions when they arise. The criteria for advancement within the career path have encouraged activities among the librarians which contribute to their continuing education and professional development. Their participation in professional conferences, keeping abreast of the literature and their involvement in organisations both within and without the

University have had a positive impact on their leadership training and development.

The leave benefits, together with annual travel and other research grants made available by The UWI for the senior academic and professional staff, ensure that all the necessary resources are available for librarians to acquire the requisite leadership training. The analysis of how the staff benefits have been used underscores the point that institutionally, there are facilities in place for the librarians to prepare themselves academically, professionally and experientially for leadership and succession opportunities. However, while some librarians have taken advantage of every opportunity that presents itself, others have been less diligent in so doing.

There is overwhelming support among The UWI librarians for a formal programme of succession planning as it would help the library to identify and develop required skills to fill key vacancies. Librarians who aspire to become leaders will receive the required training and development to prepare them for such positions. Some of the specific benefits that The UWI librarians agree will accrue from a formal succession programme and recommendations for those aspiring to leadership positions have been proposed.

The data also reveals that there seems to be a disconnection between perception and reality among The UWI librarians with regard to their readiness for leadership and succession. On the one hand, some librarians are of the view that the library administration's preparation practices are not effective. This might be indicative of some level of frustration on the part of the professional staff who perceive

that there needs to be a more systematic approach. On the other hand, the perception of their level of preparedness for positions of increased responsibility is generally high. The reality, as the study has shown, is that a good percentage of the professionals have been promoted within the system.

A key factor with succession planning is thinking ahead and planning for the skills which will be needed throughout the organization when vacancies arise. In the informal system which exists at The UWI Libraries there is a direct link between the organisation's strategic planning and goals and the career development of the professional staff. An aspect of the culture of The UWI is expressed through its institutional support for staff development and its strict adherence to the staff appraisal process. The findings of this study strongly suggest that where such circumstances exist in an organization, the transition to a formal succession planning programme should be an almost natural development.

ACKNOWLEDGMENT

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KEY TERMS AND DEFINITIONS

Career Development: The practice of activities which result in advancement in the profession.

Caribbean Librarianship: The practice of the profession in the English –speaking Caribbean.

Leadership Development: Grooming individuals to take on positions of responsibility.

Performance Assessment: Review of work done according to set standards.

Staff Appraisal: Evaluating staff against set criteria.

Succession Planning: Developing staff to assume positions when they become vacant.

The University of the West Indies Libraries: Name of institution where research was conducted.

ENDNOTES

[1] About the Open Campus UWI. http://www.open.uwi.edu/about/welcome-uwi-open-campus. Accessed March 7, 2011.

[2] One library had a written succession plan while two libraries had no kind of plan or programme in place. The survey was conducted as part of a presentation on the topic of "Leadership and Succession Planning in Caribbean Libraries" done by Mrs. Karen V. Barton, Regional Director of the Jamaica Library Service and Professor Margaret D. Rouse-Jones, University Librarian of The University of the West Indies at a Workshop on *Trends and Developments in Caribbean Libraries*, June 25 – 29, 2007, Department of Library and Information Studies, The University of the West Indies, Mona, Jamaica.

[3] It is assumed that the 13.7% whose last appraisal was prior to that would have been those persons who were on extended leave or recently retired.

[4] The Master's in Library Studies (M.L.S.) Programme was started in October 1988. An M.A. in Library and Information Studies was introduced in the 1998/99

academic year. It is intended for students who already have an undergraduate degree in Library Studies. Admission to this programme was initially restricted to students who graduated in the 1980's with the B.A. Library Studies http://web.archive.org/web/20100213154736/http://www.mona.uwi.edu/dlis/bkground/bkground.htm Accessed September 4, 2011.

5   Among the organisations mentioned were: Jamaica Historical Society; Barbados Museum and Historical Society; Guyana Heritage Society; Association of Caribbean Historians; Association of Caribbean University, Research and Institutional Libraries (ACURIL); Seminar in the Acquisition of Latin American Library Materials (SALALM); Association for Library and Information Science Education (ALISE); Association of Caribbean Higher Educational Administrators (ACHEA); International Federation of Library Associations (IFLA); West Indies Group of University Teachers (WIGUT); Jamaica Fulbright Humphrey Alumni Association; North American Serials Interest Group (NASIG); Caribbean ORACLE Users Group; Caribbean Name Authority Cooperative Program of the Library of Congress Program for

Cooperative Cataloguing (NACO) Funnel Group; DSpace Federation.

6   Some of the Mona Campus librarians were involved in the formal mentoring of either para-professionals or students from the Department of Library and Information Studies and not necessarily of younger librarians employed in The UWI Libraries.

7   This could have applied to ALA trained professionals or to persons who worked as para-professionals and may have used the no-pay leave to complete the Bachelor's degree.

APPENDIX

Leadership and Succession Planning: The UWI Experience

Instructions

- To begin, click in the box for your answer and press tab to continue.
- Upon completion of the questionnaire, go to File/Send To/Mail Recipient (as Attachment)
- Send to evadnemclean@yahoo.com and/or margaret.rousejones@gmail.com

Figure 1. Demographic profile

1. Campus at which you work/ed: **Cave Hill** ☐ **Mona** ☐ **St. Augustine** ☐ **Open** ☐

2. Age Range: **30 and under** ☐   **31-40** ☐   **41-54** ☐   **55 and over** ☐

3. Gender: **Male** ☐   **Female** ☐

4. Education: **First Degree** ☐   **Second Degree** ☐
☐   Other, please specify:_____

5. Year of professional qualification:

   _____

6. Year joined U.W.I. professional staff:

   _____

7. Were you a member of the U.W.I. ATS staff before joining the professional staff?
        Yes ☐   **No** ☐

8. At what level did you join the professional Library staff?
   ☐ Senior Library Assistant
   ☐ Librarian I/Assistant Librarian
   ☐ Librarian II/Librarian III below the bar
   ☐ Librarian II
   ☐ Other, please specify: _____

Figure 2. Demographic profile

9. What is your current level?

☐ Senior Library Assistant

☐ Librarian I

☐ Librarian II

☐ Librarian III

☐ Senior Librarian I

☐ Senior Librarian II

☐ Senior Librarian III

☐ Deputy Librarian

☐ Campus Librarian

☐ Professor

10. What was the date of your appointment to this level?

_____

11. What is your current responsibility?

☐ **Head of Branch/Faculty/School/Institute Library**

☐ **Head of Section**   **Head of Unit** ☐

☐ Other, please specify: _____

12. What career path do you envisage for yourself?

_____

Figure 3. Professional activities

13. Are you a member of your local library association? **Yes** ☐   **No** ☐

14. Have you ever served on its executive? **Yes** ☐   **No** ☐

15. If yes, select the office(s) you have held and give the dates (M/d/yyyy):

☐ President   From: To:

☐ Treasurer   From: To:

☐ Chairperson for Committee/Working Party   From: To:

☐ Vice President   From: To:

☐ Public Relations Officer   From: To:

☐ Other, please specify: _____

16. Are you a member of any other professional/scholarly association?

Yes ☐   **No** ☐

If yes, indicate which:

☐ Jamaica Historical Society

☐ SALALM

☐ ACURIL

☐ ALA

☐ CILIP

☐ MLA

☐ Association of Caribbean Higher Education Administrators (ACHEA)

☐ Other, please specify: _____

Figure 4. Professional activities

17. What office have you held in this/these associations? Kindly give dates (M/d/yyyy):

☐ President   From: To:

☐ Treasurer   From: To:

☐ Chairperson for Committee/Working Party   From: To:

☐ Vice President   From: To:

☐ Public Relations Officer   From: To:

☐ Other/s, please specify: _____

18. Have you ever been given an award by your local, regional or international professional association?
         Yes ☐   **No** ☐

If yes, please indicate the award and the date:

_____

Figure 5. Continuing education and professional development (library and information science only)

19. Do you read Library and Information professional journals on a regular basis?

Yes ☐   No ☐

Indicate the titles that you read

☐ Journal of Academic Librarianship

☐ College and Research Libraries

☐ Cataloguing and Classification Quarterly

☐ Journal of Library and Information Science

☐ Library Management

☐ Other/s, please specify: _____

20. How often do you attend Library and Information professional conferences? Please click the answer that applies.

At least once per year ☐   **Twice per year** ☐   **Every two years** ☐

☐ Other, please specify: _____

21. How many Library and Information conferences did you attend in each of the following years? Please click the year and number which apply:

2004 ☐ **0** ☐ **1** ☐ **2** ☐ **3** ☐

2005 ☐ **0** ☐ **1** ☐ **2** ☐ **3** ☐

2006 ☐ **0** ☐ **1** ☐ **2** ☐ **3** ☐

2007 ☐ **0** ☐ **1** ☐ **2** ☐ **3** ☐

2008 ☐ **0** ☐ **1** ☐ **2** ☐ **3** ☐

Figure 6. Continuing education and professional development

22. How do you decide which conference to attend? Please indicate all answers that apply.

☐ Opportunity to present a paper

☐ Conference theme is in keeping with my career interest and goal

☐ Opportunity to visit the country where the conference is being held

☐ Other, please specify: _____

23. How many career development workshops/seminars have you attended within the last five years (2004 - 2008)? Please click the number that applies:

0 ☐   **1** ☐   **2** ☐   **3** ☐   **more than 3** ☐

24. Did the library administration play a role in your attendance at any of these workshops/seminars? **Yes** ☐ **No** ☐

If yes, what role did they play?

☐ nominated me to attend 1 workshop/seminar

☐ nominated me to attend 2 workshops/seminars

☐ nominated me to attend 3 workshops/seminars

☐ paid all my expenses for 1 workshops/seminars

☐ paid all my expenses for 2 workshops/seminars

☐ paid all my expenses for 3 workshops/seminars

Figure 7. Continuing education and professional development

25. How many leadership development/management training courses have you attended in the last five years (2004- 2008)? Click the number that applies to you:

0 ☐   **1** ☐   **2** ☐   **3** ☐   **more than 3** ☐

26. What role did the Library Administration play in your attendance?

☐ Suggested I attend

☐ Paid all my expenses to attend

☐ Part part of my expenses

☐ None, entirely my own initiative

27. Have you ever undertaken any other academic or professional courses since joining the Library staff?
        Yes ☐   **No** ☐

If yes, click the ones which apply:

☐ Masters degree

☐ PhD

☐ Diploma

☐ Other, please specify: _____

28. (a) Since joining the UWI Library professional staff, have you acquired a scholarship/fellowship?

Yes ☐   **No** ☐

        If yes, indicate which:

        ☐ Fulbright

        ☐ Commonwealth Split-site

        ☐ Hubert Humphrey

        ☐ ACU/FCO Chevening

        ☐ Other, please specify: _____

(b) Did you acquire it independently or were you selected for it:

Figure 8. Continuing education and professional development

29. Have you had a mentor, whether formal or informal?   **Yes** ☐   **No** ☐

30. Who initiated the mentee/mentor relationship? Click the correct answer:

☐ I did

☐ The mentor did

☐ My Supervisor did

☐ The Library Administration did

☐ Other, please specify: _____

31. How has being mentored helped you to realize your career goals? Please click all that apply:

☐ Improved my self-confidence

☐ Helped to hone my professional skills

☐ Provided career information

☐ Received guidance with writing my papers

☐ Received advice to deal with interpersonal problems

☐ Other/s, please specify: _____

32. Have you ever been a mentor to a younger professional?   **Yes** ☐   **No** ☐

 Comment briefly on the experience: _____

33. Have you ever had an attachment/exchange at another library?

                    Yes ☐   **No** ☐

    If yes, comment briefly on your experience: _____

Figure 9. Continuing education and professional development

34. Have you accessed any of the following benefits provided by the UWI. Click all that apply:

☐ Campus Research Grant

☐ Travel Grant

☐ Institutional Visit Allowance

☐ Study Leave

☐ Sabbatical

☐ Assisted Leave

☐ Fellowship Leave

☐ Special Leave for Scholarly Activity

☐ No Pay Leave

☐ Other, please specify: _____

35. How did it/they advance your career goals? Click all that apply:

☐ Gained a Masters Degree

☐ Gained a Bachelors Degree

☐ Carried out research

☐ Attended professional Workshop

☐ Attended Professional Conference (s)

☐ Completed publication

☐ Other, please specify: _____

36. When was your last performance review? Please indicate the year:

2004 ☐   **2005** ☐   **2006** ☐   **2007** ☐   **2008** ☐

Figure 10. Continuing education and professional development

37. Has the annual performance review benefited your professional development?

Yes ☐   **No** ☐

 If yes, indicate the answers that apply:

☐   Feedback motivates me to maintain my performance

☐ Feedback motivates me to improve my performance

☐   Review highlights opportunities/needs for further training

☐   Review indicates if my performance is helping to achieve the Library's goals

☐ Other/s, please specify: _____

38. Do you plan your career/professional development with the Library's strategic goals in mind?
    Yes ☐   **No** ☐

39. Using a scale of 1-5 with 5 being the highest and 1 the lowest, how would you rate your present preparedness for a higher leadership role and/or succession?

1 ☐   **2** ☐   **3** ☐   **4** ☐   **5** ☐

40. Using a scale of 1-5 with 5 being the highest and 1 the lowest, how would you rate the Library's present preparation practices for leadership and succession?

1 ☐   **2** ☐   **3** ☐   **4** ☐   **5** ☐

Figure 11. Scholarship profile

41. Have you presented papers at professional and other conferences during the period 2004-2008?

Yes ☐   **No** ☐

If yes, indicate the years in which you presented and how many:

☐ **2004**   0 ☐   1 ☐   2 ☐   3 ☐

☐ **2005**   0 ☐   1 ☐   2 ☐   3 ☐

☐ **2006**   0 ☐   1 ☐   2 ☐   3 ☐

☐ **2007**   0 ☐   1 ☐   2 ☐   3 ☐

☐ **2008**   0 ☐   1 ☐   2 ☐   3 ☐

42. Have you published any work during the period 2004-2008?

Yes ☐   **No** ☐

If yes, please indicate which, how many and the year:

☐ Books: _____

☐ Book chapters: _____

☐ Articles: Peer-reviewed: _____

☐ Articles: Non Peer-reviewed: _____

☐ Other/s, please specify: _____

Figure 12. Extra departmental service (work which extends beyond your usual library assignments)

43. Indicate the special library activities with which you have been involved:

☐ Workshops

☐ Major exhibitions

☐ Seminars

☐ Special Committees

☐ Outreach

☐ Others, please specify: _____

44. What role(s) did you play?

☐ Chairman

☐ Secretary

☐ Other, specify: _____

45. Have you ever sat on any University committee, Board, etc.?

          Yes ☐   **No** ☐   If yes, please indicate:

☐ Faculty Board

☐ Academic Department Committee

☐ Academic Board

☐ Campus Committee

☐ University Committee

☐ Other, please specify: _____

46. Have you attracted any project funding?   **Yes** ☐   **No** ☐

If yes, please give amount, name and date: _____

47. Have you ever been given a Departmental/University award?

          Yes ☐   **No** ☐

If yes, please indicate award, date: _____

Figure 13. Benefits of succession planning

A successful planning programme is "a deliberate and systematic effort by an organization to ensure leadership continuity in key positions, retain and develop intellectual and knowledge capital for the future, and encourage individual advancement." (Rothwell, 2001. p.6).

48. Do you think the Library should embark on a formal succession planning programme?

Yes ☐　　　　　　　　**No** ☐

If yes, tick the benefits you think will accrue to the Library and the librarians:

☐ It will increase opportunities for librarians who have the potential for future advancement

☐ It will identify the skills needed to accomplish the Library's goals

☐ It will establish and conduct specific programmes designed to accelerate the development of high potential librarians

☐ It will contribute to the successful implementation of the Library's strategic plan

☐ It will ensure that the librarians' self-directed career development is aligned with the Library's strategic plans

☐ The Library will retain talented Librarians

☐ Key positions can be filled mainly from within the Library without much delay

☐ Key positions will have several people prepared to assume them (that is called bench strength)

☐ Where external talents are needed, these can be identified and brought into the organization early

☐ Other/s, please specify: _____

If not, give reasons:

☐ The present practice provides adequate preparation for succession

☐ There are usually suitable successors for key positions

☐ The programme will discriminate against some librarians

☐ Other, please specify: _____

Figure 14. Benefits of succession planning

49. What recommendations do you have for the Library on the matter of succession planning?

_____

50. What advice do you have for librarians who are desirous of getting into leadership positions?

_____

Thank you very much for completing this questionnaire

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Jan Sykes has more than 20 years of sales and consulting experience in the information industry. Currently, she leads Information Management Services, Inc., an independent consultancy with a mission to help organizations make smart investments in content needed for business research. Engagements are focused on information needs assessments, product evaluations, and strategic planning for information and knowledge services. Information Management Services, Inc. also audits current spending for subscriptions, online licenses, market data studies, etc. across a client organization to identify opportunities to consolidate agreements, control costs, and negotiate broader usage terms. Sykes is active in SLA-IL and KM-Chicago and serves on the Board of Directors for Innovation Experts.

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