

A STRATEGIC PLAN  
FOR THE  
UNIVERSITY OF KANSAS LIBRARIES

Lawrence, Kansas

December 1993

## ACKNOWLEDGMENTS

This plan is the product of countless hours of endeavor over the course of nearly a year. At one point fully one-third of the Library's staff was directly involved, as were several individuals from other areas of the University. Special thanks are due to the members of the task forces who generously gave their time and talent to this process, and indeed to the staff as a whole for their comments and contributions, especially in carrying out the work of departments during the absence of their colleagues who served on a task force or the Steering Committee. Thanks are also due to many other members of the University community who contributed in the formulation of this plan. Throughout the entire process, the Library was fortunate to have the guidance of Maureen Sullivan, of the Office of Management Services, Association of Research Libraries, who never failed to re-energize us and inspire us to new efforts. Finally, special thanks are due to William J. Crowe, Dean of Libraries, for his support throughout the process.

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## INTRODUCTION

The Library's principal purpose is to support the teaching, research, and service missions of the University of Kansas.<sup>1</sup> As the University's mission statement makes clear, outstanding libraries play a central role in maintaining its standing as a member of the American Association of Universities, and the Library is essential in fulfilling the stated goal of serving Kansas, the nation, and the world through research, teaching, and the preservation and dissemination of knowledge. Through its collections and services, the Library strives to fulfill its primary obligation to the immediate scholarly community, but it also offers unique resources to the entire scholarly world. Because it is true that "the vocation of the university depends absolutely on the library," the success of a university rests on how effectively library services are performed.<sup>2</sup>

As is the case with all research libraries, the KU Library is confronted with several major challenges. How the Library and the University address them will have a direct impact on how effectively the Library achieves its mission. For these reasons, our work has focused on creating a plan that articulates a vision for the future and sets clear directions and priorities to meet the challenges of this decade. Foremost among these challenges is the provision of access to Library collections, to many other information resources within the University, and to the vast resources of information beyond the University. In the current fiscal climate the Library is challenged to achieve its mission with fewer staff and constrained state funding. Most specifically, increases in the number of publications issued worldwide and escalating costs of acquiring them have had serious implications for the Library's effectiveness. Faced with rising costs, tight budgets, and reduced purchasing power, the Library has had to cancel journal subscriptions and reduce book purchases. The Library must re-evaluate what it collects and how it collects, as well as provide ready access both to traditional library materials and to electronic sources.

The new information technologies are pervasive and dynamic, and frequently necessitate expensive equipment. They are transforming the way in which people seek and find information, creating new levels of client<sup>3</sup> expectations for library services. The Library must respond to these challenges by acquiring the necessary technology and by developing the staff expertise needed to mediate successfully between clients and the growing array of information resources.

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<sup>1</sup>Throughout this document the KU Libraries is referred to as the "Library." The usage of "Libraries" as a singular noun can be confusing to those unused to it, and in the hope that the reader will concentrate on the substance of the Plan rather than any confusing usage, "Library" has been preferred.

<sup>2</sup>Jaroslav Pelikan, *The Idea of the University: A Reexamination* (New Haven: Yale University Press, 1992), p. 117.

<sup>3</sup>Terms used by libraries to refer to the people who make use of them vary (e.g., client, user, patron, reader, etc.), and each term currently in use evokes negative reactions from some library professionals. *Library Literature* largely avoids the issue by not having a heading for the concept, referring to "library use" or "service to [a particular group]." Clients of the KU Library include faculty, students and staff of the University; faculty, students and staff of other institutions of higher education; and the general public.

Ultimately the Library's ability to master its challenges rests with the competence, flexibility, and commitment of the Library's staff. The KU Library has had a long tradition of recruiting competent and dedicated staff at all levels. This is particularly remarkable given the fact that the average salary for KU librarians now ranks near the bottom of the Association of Research Libraries (ARL) salary statistics, that staff development has been woefully underfunded, and that the Library devotes significantly less of its total budget to staff as compared to ARL averages. It is important that the Library create an environment where staff can continue to develop and that the Library and University pay careful attention to their needs. The Library must provide support and opportunities for professional development and training to expand staff capabilities. These are important goals; but if the Library is to meet the challenges of this decade, it must have an effective, responsive, and forward-looking staff. The Library must reverse the trend of using funds from vacant positions for other purposes and begin to fill positions, especially support positions.

Acknowledging these challenges early in his tenure, Dean Crowe initiated a strategic planning process. In January, 1993, some twenty-five representative members of the Library's staff, along with representatives from the Law Library, Health Sciences Library, and the Computer Center, came together for a two-day retreat under the guidance of Maureen Sullivan. Following that meeting, Dean Crowe, in consultation with the Library Faculty Assembly's Budget and Planning Committee, selected a Steering Committee to lead the planning process. Dean Crowe charged the Steering Committee

to be responsible for leading the planning process and producing a planning document by December 1993; giving direction to and coordinating the work of task forces that may be created in order to promote wide involvement in planning while minimizing duplication of effort; resolving possible overlapping responsibilities and problems among task forces; consulting widely—with the staff, with representative Library users, and others—to obtain information and demystify the process being followed; communicating effectively with me and with all interested groups throughout; encouraging fresh thinking and acting as a catalyst for ideas; and, seeking a consensus about the values that should be reflected in the plan and in recommending priorities for the KU Libraries.... In the end, I expect strategic planning to serve at least four important purposes: **to sharpen understanding of how we best can meet the needs and wants of our users; establish a clearer process within the Library for decision-making; focus new and reallocated resources on goals and objectives of highest priority; and, generally, strengthen communication throughout the Library about how best to achieve our aspirations.**

The Steering Committee began meeting in April and developed a revised mission statement (which appears on p. 5), an initial vision statement, an environmental scan of the situation in higher education with particular emphasis on research libraries in public universities, and an internal assessment of the Library. These draft documents were distributed to the staff and discussed at several open meetings at the end of May and beginning of June. Following on these discussions, the Steering Committee created seven task forces to develop recommendations in the following areas: Intellectual Access to Collections and Information Resources (Regardless of Where Located); Development of and Physical Access to Collections and Information Resources (Regardless of Where Located); Reference and Instructional Programs; Space, Facilities, and Equipment; Staff; Financial Resources and Development; and, On-Line Systems.

Each task force was given several goals derived from the initial vision statement and was charged with

- reviewing the goals;
- analyzing external factors and the University environment as they pertain to each goal;
- identifying what constitutes best thinking, research, and practice in this area by gathering information from library literature, phone calls, and/or site visits;
- reviewing the Library's advantages and limitations in this area, including an evaluation of present organizational structures, staffing patterns, policies, allocation of resources, especially communication and decision making structures;
- identifying areas that need to change or improve and considering alternatives;
- after reviewing alternatives, the task forces were to recommend long-term strategies (5—10 years) for achieving the goals, recommending under each strategy, steps to be taken in the short term (2—5 years);
- identifying the resources needed to achieve the goals in the short and long terms;
- placing each of the goals and recommended courses of action in order of priority;
- considering what values need to be strengthened or changed to help achieve these goals; and,
- identifying areas for further study.

Each member of the Steering Committee served as a liaison to one of the task forces.

The seven task forces began their work in a two-day session facilitated by Maureen Sullivan on July 19-20, and completed their work on October 22. Each task force produced a detailed report containing recommendations that addressed the goals in its charge. These reports were made available to all members of the Library staff. At the same time the members of the Steering Committee conducted a series of consultative meetings with key administrators and others within the University to gain their insights into the future directions of the University and to keep them informed about the strategic planning process in the Library. The Steering Committee returned to its initial vision statement and reshaped and refocused it in light of all that had been learned. The vision statement that begins on p. 6 is meant to function both as a statement of the Library's vision for the future and as a summary of the Library's plan to achieve that vision. In the same way that the Library's vision and plan are tightly integrated, so too are the organization's values infused throughout the vision and plan. Building upon the task force reports and comments solicited from Library staff and others, the Steering Committee produced the present plan—consisting of a mission statement, a vision statement, an action plan, and implementation recommendations—which was completed and delivered to Dean Crowe on December 17, 1993.

## UNIVERSITY OF KANSAS LIBRARY MISSION STATEMENT

The mission of the University of Kansas Library is to support the University's own mission as a center for learning, scholarship, and creative endeavor. The University's mission is achieved through

- high-quality undergraduate, professional, and graduate instruction sustained by outstanding libraries and information technology;
- high levels of research productivity;
- service to the state of Kansas, the nation, and the world through the preservation and dissemination of knowledge;
- international study and cooperative research; and
- a commitment to excellence, a multicultural environment, the dignity and rights of the individual, and to intellectual diversity, integrity and disciplined inquiry in the search for knowledge.

The Library fulfills its specific mission of supporting the academic programs and values of the University by

- selecting, acquiring and preserving outstanding collections of scholarly materials in appropriate media and formats which best fulfill the research needs of the University community;
- cataloging, organizing and making these collections readily available for the University, the state of Kansas, and the international scholarly community;
- providing responsive, high-quality reference, information, and instructional services;
- providing access to collections and information resources located elsewhere in the world;
- cooperating with other libraries and organizations within Kansas and beyond to ensure access to all scholarly information resources; and,
- providing a physical and intellectual environment conducive to learning, scholarship, and creative endeavor beyond the classroom and laboratory.

## VISION AND OUTLINE OF ACTION PLAN

The ultimate measure of a university research library's success is the satisfaction of its client groups with their ability to obtain informational and scholarly resources necessary to meet their objectives in teaching, conducting research, and providing service. Success in this endeavor has, in the past, been measured primarily by a researcher's ability to find a given item within a given library's collection. Anticipating scholarly needs will continue to be a goal of the Library, but given the proliferation of published information and breadth of scholarly inquiry and the Library's demonstrated inability to purchase, process, and preserve print-based copies of all worthy items, the Library must place more emphasis on identifying and meeting current client needs and concomitantly less on unknown or potential needs, restricting speculative collection development to areas in which it can offer unique or highly significant contributions to scholarship. Increasingly—but in some disciplines more than others—the most viable solution to matching client needs and the Library's ability to provide them will be electronic access to and purchase of information at the point of need. Evolving toward a “client-based needs assessment philosophy” demands the allocation of greater resources to the ongoing identification of who the Library's clientele is, their needs and information-seeking practices, and to the provision of sufficient and proficient Library staff who will help clients interpret and navigate among the many options, both new and traditional, to satisfy their needs. Provision of one-on-one assistance to clients will continue to be vital, but increased emphasis will be placed on educating and re-educating faculty and students using collective instructional strategies with the goal of increased client self-reliance.

The provision of access to a library's collection has traditionally been one of the cornerstones of its *raison d'être*. Developments in information technology during the past twenty-five years, not to mention those on the horizon, in no way reduce this responsibility but rather change it dramatically. To meet most of the information needs of its clients in the very near future, the Library must have a complex, sophisticated, and pervasive online system based upon up-to-date hardware, software, and networking. This broader “system” will include traditional core library public access, file management, and transaction processing functions, all maintained and presented to clients and staff in an integrated manner. All system modules and networks will use standard protocols and will be constructed with an “open systems” approach to facilitate their ability to be integrated with other local and remote online systems and to handle new kinds of information content and forms of presentation. All local networks will be connected to and accessible from the KU campus ethernet network and through it be connected to and accessible from all regional, national, and international TCP/IP-based networks. The local workstation for both clients and staff will be a single intelligent, networked microcomputer capable of using campus local area network resources, other campus hosts, and remote hosts via the Internet. Each workstation will be capable of both simple terminal access to remote hosts and of operating client software for a wide variety of servers and hosts. By virtue of supporting standard protocols and being connected to local and national networks, all library electronic resources will be sharable and usable, to the extent allowed by licensing, by remote users throughout the University, the state, and the world.

While proceeding to develop the broader online system envisioned above, completion of a totally online catalog of those materials owned by the Library must be the foremost objective for providing cataloging and other processing information (e.g., acquisitions information, serial and monograph holdings information). Volume and immediacy of catalog record production are the highest priorities. Reviews of values, procedures, standards, staffing, and equipment should begin immediately. The goals are to provide access to all material as soon as possible following order and receipt and also to provide clients with access to all presently owned materials by the end of FY99. Investigation of best practice supports the belief that clients are best served by having some access to the complete collection, even if excellence of

individual records and catalog structures must be moderately reduced. Investigation of best practice also reveals that staff morale is improved by catching up and staying current with processing. These recommendations apply to all cataloging and other processing agencies in the Library.

The Library must and will continue to have a role as the physical as well as the metaphorical heart of the University, with the mission of providing a physical as well as an intellectual environment conducive to learning, scholarship, and creative endeavor. Much of the existing physical plant of the Library inhibits its ability to achieve this mission. Despite the welcome new library facilities for science, engineering, art and architecture and the Regents Center which have opened during the past fifteen years at KU, the Library desperately needs more and better quality space. Several of the facilities are old and in need of significant repairs. Space for clients and staff is limited in many areas; in some facilities book stacks are filled to capacity, and frequent major shifts of collections disrupt Library operations and impede delivery of service. Watson Library, simply and emphatically, is full. Space in Watson must be relieved and reallocated to accommodate collection growth, reader space, electronic workstations and expanded services. The Gorton Music Library and the Government Documents/T.R. Smith Map Library suffer notably from space and facilities deficiencies. A portion of the top floor of the Spencer Research Library has no roof and is thus currently unavailable to accommodate growth. The needs of the Government Documents/Map Library may be addressed with the completion of Hoch construction, and completion of the top floor of Spencer Library has been discussed, but a new Music Library facility likely will not be available for at least a decade. Compounding these problems is the lack of a centralized office in the Library to coordinate information, requests, and planning for space-related needs. Installation of equipment for new technologies is also difficult and affected by adverse conditions in the physical plant. In addition, book stacks, staff offices and public areas are often poorly lit, inaccessible to clients with various disabilities, and cause for concern about the security of staff, clients, and collections. Environmental conditions vary and often put staff, clients and collections at risk. Workstations to access local and remote catalogs, databases, and other information resources are not available in sufficient numbers or locations to meet the needs of clients and staff alike. Health and safety compliance in staff and public areas, coordination of a regular maintenance schedule, and successful communication to facilitate prompt remedies for maintenance problems also warrant attention. The Library will pursue short-term answers to address these most pressing needs, while simultaneously seeking long-term solutions.

To meet the Library's mission of providing information and innovative services to the University community, it is essential that the Library nurture and develop its most valuable resource: the expertise of its staff. To do so means increasing support for training, continuing education, professional development, and research. The Library should work to develop a shared sense of direction among the staff and to assure that each staff member's assignment is rewarding and provides opportunities for growth. To better reflect and respond to the needs of the University and broader community, the Library should increase the diversity of the staff. Stronger communication in a collegial and participative atmosphere and clearer decision-making processes are needed to enable the Library to fulfill its mission. It is the responsibility of each individual staff member as well as the Library as a whole to initiate, sustain, and support these efforts.

To provide collections, services, and staff expertise to meet current and anticipated client needs, the Library must increase its budget substantially over its present level. Stronger support from the State continues to be essential. The Library must also expand its base of support and begin attracting more gifts, endowments, and grants. External funds will necessarily play an increasingly greater role in KU Library funding. It is important to the success of any efforts to attract funds that the Library be seen as central to the University, not just by students and faculty, but also by alumni and the larger community. The satisfaction of principal client groups is of course the foundation of the Library's support, but not in



itself sufficient to raise the resource base; therefore, additional staff resources must be focused on development, outreach, and public relations.

Below is an outline of recommended actions and goals which follow from the vision and overview presented above.

## **I. Provide Collections, Services, and Programs Designed to Meet Client Needs.**

- A. Identify Current Client Needs for Information Resources, Access Tools, and Reference and Instructional Services and Programs.
- B. Strengthen Support for Collection Analysis, Management, and Development.
- C. Develop a Consolidated Program to Preserve the Library's Collections.
- D. Create Additional Space and Continually Evaluate Present Space Usage to Facilitate Collection Growth, More Rational and Convenient Location of Collections, and New and Expanded Client Services.
- E. Enlarge Clients' Access to Un-Owned Information Resources.
- F. Provide and expand Reference Services.
- G. Expand Instructional and Educational Programs.
- H. Provide Adequate Administrative Support for and Attention to the Provision of Reference, Instructional, and Access Services.
- I. Strengthen Communication and Cooperation Both Within the University Community and with Other Libraries in the Region to Avoid Unnecessary Duplication of Collections and Programs.

## **II. Integrated Online System**

- A. Specify requirements for a computer-based system that includes new core library functions, consortial capabilities, general network access to other systems, and an emphasis on the virtual library.
- B. Educate staff on what is possible and desirable in an online system; prompt staff to consider Library-wide system issues; and present the advantages of a system change.
- C. Decide whether continued local development is a viable option for meeting the new specifications.
- D. Investigate consortial possibilities and technical requirements that may influence the choice of a new system.
- E. Fund, install, and maintain the required networking and workstation infrastructure for the Library.
- F. Acquire an integrated system for new core library functions.
- G. Provide for the ongoing functions of operating, maintaining, and upgrading the core library system, the network infrastructure, and staff and public workstations.
- H. Manage and coordinate the implementation and ongoing use of the new core integrated system.

### **III. Total Online Access to KU Collections**

- A. Establish a detailed plan to insure total online access by June 30, 1999.
- B. REVIEW bibliographic standards and level of records.
- C. REVIEW cataloging and processing procedures.
- D. REVIEW STAFFING requirements to accomplish this plan.
- E. REVIEW EQUIPMENT requirements to accomplish this plan.
- F. Review collections in preparation for processing.

### **IV. Optimize Current Space, Facilities and Equipment, and Plan for New Space and Equipment**

- A. Provide an Organizational Structure which Facilitates Resolution of Space, Facilities and Equipment Needs Within the Library and Across Campus.
- B. Administrative Initiatives which could be accomplished within the Library, without extensive involvement of outside agencies.
- C. Develop Comprehensive Short-term Plans to Improve and Expand Existing Space and Facilities.
- D. Develop Long-term Plans for Future Space Needs.

### **V. Staffing and Organizational Issues**

- A. Develop the Expertise of the Library Staff.
- B. Increase the Diversity of the Staff.
- C. Strengthen Communication Within the Library.
- D. Develop Clearer Decision-making Processes.
- E. Develop an Organizational Structure that Facilitates Decision-making.

### **VI. Development, Outreach, and Public Relations**

- A. Identify and Pursue New Funding Sources.
- B. Increase the Library's Visibility as an Integral Part of the University Community.
- C. Promote and Recognize the Role Each Staff Member Plays in Building Support for the Library.
- D. Demonstrate Effective Management of Resources.

## ACTION PLAN

### **I. Provide Collections, Services, and Programs Designed to Meet Client Needs.**

#### **A. Identify current client needs for information resources, access tools, and reference and instructional services and programs.**

**Strategy 1:** Assign a member of the Library staff, who has interests and aptitudes in survey design and statistical analysis to provide part-time assistance in data collection and performance measurement. This staff member will provide assistance to bibliographers in assessing collection use and identifying core collections, and to public services staff in evaluating library services, as well as insure that all Library survey instruments are properly reviewed and approved as prescribed by University procedures. (If a Collection Services Librarian is appointed [see I.B.1 below], these responsibilities could be assigned to him/her.)

**Strategy 2:** Establish a task force charged with the design and implementation of surveys to profile Library clientele and evaluate their needs. If appointed, the Library staff member with responsibilities in this area (see I.A.1 above) should chair and/or assist this task force.

**Strategy 3:** To assist in the identification of monographs and journals which are most needed by one of the most library-dependent segments of our client population, develop a reasonably short survey instrument for delivery to students in all graduate-level classes on the Lawrence campus.

**Strategy 4:** Design and distribute a similarly short survey of all teaching faculty, asking for data on their own use of the Library as well as titles of the most important monographs, journals, and other information resources for courses they have recently taught and plan to teach in the near future. As an adjunct to this survey, correlate reserve reading lists or use them alone for faculty who fail to respond to the survey.

**Strategy 5:** Under the guidance of the Coordinator of Library Instruction, design and implement evaluation of all instructional programs. Collect and compile statistics of instructional activities as needed in order to evaluate staffing requirements and client needs for new and ongoing instructional services.

**Strategy 6:** Charge the Interlibrary Services/Document Delivery Librarian with developing, in close consultation with Collection Services staff and the Collection Development Council (CDC), reports of interlibrary lending and borrowing which can better assist bibliographers to make selection decisions based on known client needs.

#### **B. Strengthen support for collection analysis, management, and development.** Increased emphasis on the identification and analysis of current client needs, coupled with diminished purchasing power and the reallocation of acquisitions funds to allow for other crucial strategic planning initiatives, requires that the Library devote additional staff resources, provide more training, and develop additional data for collection analysis, management, and development.

**Strategy 1:** Provide coordination and leadership for these activities, with particular emphasis on improving the training and ongoing development of bibliographers, improving and expanding the Library's measurements of client satisfaction and needs regarding the collections, assisting the Library's cooperative efforts in collection development and resource sharing, and improving staff and client awareness of access options. The best way to accomplish this may be to create a full-time position of Collection Services Librarian.

**Strategy 2:** Provide additional support for these efforts and for direct assistance to bibliographers with special needs and projects.

**Strategy 3:** Coordinate plans for a new, comprehensive revision and reissuance of the Collection Development Policy by the end of FY2000. Develop the policy in conspectus form (or a similar standardized reporting format), reflecting the results of collection assessments based on collection support for academic programs and research on and surveys of client satisfaction. Incorporate in a standardized means the strength of readily available but un-owned information resources. Incorporate in the conspectus data on the use of each collection as well as its current and desired strength. Provide appropriate support staff to help with individual analytical assessments.

**Strategy 4:** To improve efficiency and eliminate unnecessary functional duplication, merge the monographic and serial order, receipt, and bookkeeping functions of the current Acquisitions and Serials Departments into one department.

**Strategy 5:** Create a database of journal information bearing on the selection and retention of journals and continuations, showing such information as title, ISSN, current price, where indexed, where available, ISI impact factor, and use.

**C. Develop a consolidated program to preserve the Library's collections.** After de-accessioning any unneeded items from the Library's collections (see I.D.1 below) and having determined to make future selection decisions more dependent on demonstrated client need, the Library assumes that all remaining owned collections must be kept in a usable condition.

**Strategy 1:** Create a Preservation Department and establish a full-time position of Preservation Officer to serve as head of the department with responsibilities to develop, administer, and coordinate the Library's preservation activities, planning, and resource development.

- a) Reallocate funds from within the Library to permit recruitment.
- b) In order for the Preservation Officer to have maximum access to central technical services functions and staff, identify office and work space for him/her within Watson Library.
- c) Transfer current Bindery Preparations and Repairs unit to the Preservation Department.
- d) As needed, provide additional support staff to assist the work of the Preservation Officer.

**Strategy 2:** Under the guidance of the Preservation Officer, conduct a Library-wide preservation needs assessment, utilizing the Association or Research Libraries' Preservation Planning Program (PPP) or a similarly comprehensive model. Familiarize Library staff with the plan and solicit their input regarding modules of PPP (if chosen) to undertake, when, and in what order.

**Strategy 3:** Charge the Preservation Officer, in broad consultation with Library staff, to document current Library preservation policies and procedures, including binding procedures, shelving and other storage procedures, monitoring of environmental conditions, food and drink policies, use of book drops, photocopying policies and equipment, and methods of identifying items in need of preservation and/or repair.

**Strategy 4:** Use appropriate preservation methods as identified in needs assessment (e.g. microfilming, deacidification, encapsulation, photocopying, electronic conversion, storage) to preserve all formats of materials owned by the Library.

**Strategy 5:** Obtain adequate funding for preservation activities.

- a) Working with any available experts in development and grant writing, and based on collection assessment and proposals from bibliographers and archivists, seek private and governmental funding to implement the full range of preservation options.
- b) Reallocate funds from within the Library's budget, as needed, to maintain the percent of funding for preservation at no less than the median percent expended annually by other ARL members (currently 3.5% as compared to KU's 3.1%).
- c) To accelerate the Library's progress in preservation within the next ten years, and given the Library's longstanding high intake of fragile materials in support of program needs (notably but not exclusively in area studies), increase the Library's preservation expenditures to at least 5% of the overall Library budget.
- d) Explore cooperative preservation opportunities with other libraries, archives, and like institutions.

**Strategy 6:** Charge the Preservation Officer to develop staff training and client education program.

- a) Obtain preservation bookmarks, posters, and other publicity.
- b) Include preservation information in Library tours and in printed and automated instructional and outreach tools.
- c) Declare each year a preservation week (or month); mount an appropriate exhibit; publicize; bring speakers to campus.
- d) Encourage Library staff to participate in preservation workshops.

**D. Obtain additional space and continually evaluate present space usage to facilitate collection growth, more rational and convenient location of collections, and new and expanded client services.**

**Strategy 1:** Identify and de-accession currently owned items which are no longer necessary for or relevant to the University's academic programs and are not part of distinguished collections which are likely to be consulted by the broader scholarly community. Design and implement a project to involve all bibliographers in identifying items in the collections (both those which have received full cataloging and those which are in various backlog, brieflisted, or non-cataloged locations). In order to prevent wasted expenditure of cataloging, preservation, and stack-maintenance resources, this project should be begun in the Fall of 1994 and be completed before any new preservation programs are initiated, any further systematic retroconversion projects are undertaken, or materials are identified and transferred to an off-site storage facility.

**Strategy 2:** Obtain safe and secure space to which lesser-used materials can be relocated.

- a) Identify stack locations which require removal of material in order to accommodate growth.
- b) Identify stack locations which would be suitable for conversion to other needs (e.g., audio-visual equipment; additional workstations; offices for a preservation program, and a library instruction classroom).
- c) On the basis of a) and b), estimate the number of volumes requiring transfer to an off-site facility and identify a facility suitable to accommodate this material as well as future growth.
- d) Identify least-used material for transfer to this facility according to methods which are least time-consuming and labor-intensive but of acceptable reliability as predictors of future client demand. Under the supervision of collection development staff, use student assistants to gather use data. Involve bibliographers for additional suggestions and criteria for selection.
- e) Determine the adequacy of Library records for materials designated for relocation, the priority of adding online catalog records for these materials, and assign resources for records creation as needed. However, inability to retrocon records for these collections should not delay the project.
- f) Publicize to the University community at large the creation of the facility, stressing the benefits to be obtained by assembling infrequently-used materials. Develop and publicize procedures for retrieving materials from the off-site facility.
- g) Before the initial project is completed, develop guidelines for identifying additional materials to be transferred once the facility is operational in order to keep the space problem in the stacks from reaching crisis proportions again. For example, on an annual basis use circulation statistics to identify items which have not circulated in fifteen years.

**Strategy 3:** In determining the collections to be relocated to new space in reconstructed Hoch, assure careful consultation with affected Library clientele, assuming that high-use materials will be included, and assure the adequacy of bibliographic records for relocated materials.

**Strategy 4:** Provide appropriate facilities for library instruction. Effective library instruction cannot be achieved without classroom-type space located near collections and access tools. Increasing demand for electronic instruction exceeds currently available equipment, space, and number of dedicated access lines.

- a) With participation of the Coordinator of Library Instruction (CLI), identify a suitable space in Watson Library for a classroom facility.
- b) With participation of the CLI and the Automation Librarian, select necessary equipment and coordinate installation of necessary wiring.
- c) Maintenance and scheduling of the Watson facility will be the responsibility of the CLI. Begin before Watson collections are identified for de-accessioning and transfer to an off-site facility.
- d) Also under the coordination of the CLI, evaluate present and future instruction needs in other Library facilities and recommend space, equipment, and infrastructure needs.

**Strategy 5:** Provide appropriate facilities for accessing audio/visual and electronic resources. Planning can begin immediately, but implementation of a facility in Watson is probably not possible before sufficient collections have been relocated.

**Strategy 6:** Re-examine layout of reference service desks and collections to insure the best arrangement for use by clients and staff. In particular, evaluate the visibility of Watson's Reference Desk and make recommendations for any necessary improvement.

**Strategy 7:** Provide appropriate study areas, with some dedicated quiet study areas and some group study areas. For some clients the Library provides the only quiet place in which to study. Currently, noise from staff, other clients, and equipment make it impossible for some clients to study intensively.

**Strategy 8:** To increase personal safety of clients and staff and the security of collections, take steps to increase foot traffic to the more isolated stack locations, perhaps by providing study space in these areas.

**Strategy 9:** Work toward making all collections and services available to clients with disabilities, realizing that compliance with guidelines set forth in the Americans with Disabilities Act would require extensive renovation of many current Library facilities.

## **E. Enlarge Clients' Access to Un-Owned Information Resources.**

**Strategy 1:** Provide access to all forms of electronic information, both bibliographic records and full texts, with the Library as the hub of a campus-wide information network (or gateway). Search capability should provide seamless searching of the KU catalog, other electronic databases (both commercial and locally developed), catalogs of other libraries, the Internet, and local, national, and international networks.

- a) Appoint a task force to identify the broad components required for such a system.
- b) Acquire the necessary infrastructure needed for implementation of an information network, including workstations and fully wired buildings.
- c) Promote the concept of an information network across the University. Work with other campus units and agencies, particularly Networking and Telecommunications, to develop such a network.

**Strategy 2:** Provide clientele at all Library facilities unmediated and subsidized searching of commercial databases which afford access to citations, abstracts, and tables of contents of indexed materials, including document delivery options. Promote the use of electronic databases which provide direct delivery of information to the client, eliminating the Library as a required intermediary.

- a) Provide Library clients unmediated and subsidized searching of OCLC's FirstSearch databases, including ArticleFirst and ContentsFirst, via public workstations at all Library locations, with authorization to order documents at personal expense or through mediated interlibrary loan service.
- b) Increase the number of commercial databases for which searching is Library-subsidized. Provide ongoing assessment of costs of searching and costs of document delivery options, exploring and pursuing Library subsidy of delivery costs where acquisition of library materials is not feasible or cost-effective.

**Strategy 3:** Develop and implement a Library-wide document delivery system for both owned and unowned items requested by Library clients.

- a) Assign the ILS/Document Delivery Librarian or a higher-level administrator (see I.H below) responsibility to plan, implement, and administer this service in Watson Library and to coordinate the system Library-wide. Examine all related operations, policies, and procedures, proposing changes where needed to facilitate document delivery.
- b) Appoint a team to work with him/her to plan and implement an on-campus document delivery system. This team will i) define and evaluate the client base, ii) examine all current operations and policies, iii) assist in the design of stack layout to facilitate and simplify client access, iv) plan the deployment and management of needed personnel, v) offer clients a variety of methods both for requesting and receiving document delivery, vi) establish performance standards for evaluating the service, and vii) design and implement training of appropriate staff. Quantitatively and qualitatively assess performance of Library delivery services presented to clients, reassess client base, and determine client satisfaction with various access options. Identify highest priority services for continuation and project Library costs and any required client costs to maintain and expand services.

**Strategy 4:** Strengthen the involvement of bibliographers in identifying client needs best met by purchase, or best met by alternative means of access.

**Strategy 5:** Strengthen and expand cooperative agreements for resource sharing, with particular attention to no-cost reciprocal agreements with other libraries.

**Strategy 6:** Actively participate in state and regional courier evaluation and contract negotiations in order to improve courier effectiveness and efficiency.

**Strategy 7:** Increasingly, issues of access to both unowned and owned materials have copyright implications. Therefore, maintain currency of appropriate Library staff's knowledge of copyright laws, especially in order to plan for procedural and funding requirements related to new document delivery services and technologies.

- a) Think of copyright royalties as part of the cost of providing collections. Reallocate funds from the acquisitions budget, as needed, to provide clients with needed but un-owned documents.
- b) Develop a mechanism for monitoring the expenditures for copyright clearance and provide careful reporting and assessment of cost/benefit.

- c) Assign key Library staff (i.e., in Reserve, Circulation, Interlibrary Services/Document Delivery, and Photocopy) to review Library procedures and policies regarding copyright and to identify related issues in need of review, interpretation, and/or documentation.
- d) In close consultation with Library staff and with the University's General Counsel, develop copyright guidelines as needed and publicize widely.
- e) Educate Library staff and clientele regarding policies and procedures related to copyright compliance, timed to occur with the introduction of new delivery services and options.

## **F. Provide and expand reference services.**

**Strategy 1:** To supplement the Watson Reference Desk and make its operation more efficient, establish a well-equipped Information Desk in Watson Library.

- a) Collect statistics (partially from client surveys outlined in I.A above) to determine the percentage and types of questions which can be answered without extensive training in reference service.
- b) Determine staffing pattern and requirements. (Staffing should come entirely from departments other than Reference.)
- c) Appoint a supervisor to coordinate selection, training, and scheduling of staff and to develop referral guidelines (in consultation with the Head of the Reference Department and others as appropriate).
- d) Determine best location.
- e) Determine funding needs for equipment and staff.

**Strategy 2:** Create and maintain a directory (initially in both printed and electronic form) of Library staff who have knowledge or expertise in subject areas, methodologies, and languages for use in providing reference assistance to clients. Participation is voluntary and open to all ranks of staff. The first edition should be completed by Fall, 1995, with regular updates.

**Strategy 3:** Promote electronic mail, reference assistance by appointment, reference referral forms, and business cards to reduce the number of clients waiting at reference desks.

- a) Promote electronic mail as a vehicle for requesting reference assistance. Answering requests via e-mail could reduce traffic at reference desks at peak hours, enable questions to be referred to the most knowledgeable staff member, enhance the Library's image as a leader in the provision of electronic information, and provide a major convenience to clients for whom visits or phone calls to the Library are inconvenient or inefficient. However, as a new service, to be successful this strategy would require either new staff resources (a person to screen all incoming mail and forward it to appropriate persons) or discontinuance or cutback of an undetermined traditional service.
- b) Give serious consideration to allowing reference staff with highly developed subject expertise to be scheduled less on the reference desk and have concomitantly more time available to work with clients with in-depth research problems on an appointment basis. Publicize this service widely among faculty and graduate students in particular.
- c) For clients who have come into the Library when reference staff are busy and information desk services are insufficient and who are unable to wait to obtain assistance, help ameliorate this situation by the provision of reference referral forms which may be filled out by the client and forwarded to the appropriate reference librarian or subject specialist. The staff member routing the forms may make use of the directory of staff expertise (I.F.2 above).
- d) Provide business cards for all Library subject specialists and reference staff to be distributed by these people to their natural client groups, handed to clients who fill out reference referral forms, and used in other situations which might prompt clients to contact the most knowledgeable staff member directly and thus eliminate intermediary referrals.

**Strategy 4:** Study the effectiveness of current signage and directional systems in all Library facilities and make improvements where necessary.

- a) Examine existing signage in Watson Reference to see if it is meeting client needs. (Incorporate questions in client surveys outlined in I.A.1 [above] as well as other appropriate means.) Responsibility: Head of Reference or Coordinator of Library Instruction.
- b) Review existing printed stack maps, Library location maps, self-guided tour maps, etc. Responsibility: Publications Coordinator.
- c) Review system of naming/numbering stacks in Watson Library and adequacy of current signage. Determine level of client frustration with current system and make changes as needed. (Color-coding stack

areas is one possibility.) Begin soon, but may need further review after sizable transfer of books out of Watson and subsequent redeployment of space has occurred.

d) Resources for providing high-quality signage wherever needed should be identified. Production of flimsy, hand-made signs in public areas should be strongly discouraged.

e) Include in the design of the Library's integrated online system the capability of providing graphics which display a floor plan and/or stack module indicating insofar as possible the precise location of each item in the Library's collections. Responsibility: Automation staff.

**Strategy 5:** Improve database availability throughout the Library system.

a) Extend LAN to currently unserved areas.

b) Improve ease of connection to remote databases.

c) Acquire more computer terminals (eventually, fully integrated workstations) to access databases for both public and staff use.

d) Target funding to purchase additional database(s) in FY95 budget.

e) Appoint a committee to examine and recommend database(s) which could be loaded on the mainframe in a manner similar to *Expanded Academic Index*.

**G. Expand instructional and educational programs.** Educational programs serve the multiple objectives of promoting the use of the Library, offering alternatives to on-site instruction and reference assistance, and improving the Library's role and image within the University community.

**Strategy 1:** Under the guidance of the Coordinator of Library Instruction (see I.G.2.a below), establish a coordinated Library-wide instructional program.

a) Establish a Library Instruction Council, using the CDC as an organizational model. All Library staff with instructional responsibilities should be members of the Council, but an executive committee or advisory group either elected by the members or appointed by the CLI would assist the CLI in designing and implementing programs.

b) Establish Library-wide guidelines on access to instructional programs.

c) Investigate whether there are underserved clients and/or redundant instructional offerings which can be identified and resolved.

d) The CLI should contact, when appropriate, members of the teaching faculty to help coordinate instruction for assignments and large class projects and should gather information from bibliographers and assist them in providing instruction to upper-level classes.

**Strategy 2:** Establish programs to instruct librarians in teaching methods, especially how to use new technologies for instructional and reference service. Although many librarians have subject expertise in the bibliographic literature of their fields, few have training in cognitive learning theory and evaluation of teaching methodologies.

a) Hire Coordinator for Library Instruction with both teaching experience and an understanding of learning theory.

b) CLI will train other library instruction librarians in teaching skills and techniques.

c) CLI will assist teaching faculty and library instruction librarians in designing and evaluating library assignments.

d) Expand the training program offered by the Coordinator of Networked Information to include more hands-on instruction as new technological advances occur, providing more staff assistance as needed.

e) In addition to or as an alternative to the above, enlist outside experts (e.g., ACRL) to present workshops on teaching for library instruction and about technological developments.

**Strategy 3:** With the leadership of the Coordinator of Library Instruction, develop and promote instructional programs for outreach. Develop and offer short courses or single-session seminars on subjects of broad client interest related to Library services (e.g., DIALOG, database searching, CD-ROM and LAN use).

**Strategy 4:** Under the guidance of the Coordinator of Library Instruction, disseminate information about the Library in the University's new student orientation programs and, whenever possible, represent the Library's concerns on University committees which are concerned with students' educational experience. Publications for these purposes may be designed in coordination with the Publications Coordinator.

**Strategy 5:** Create videotaped orientations to the KU Library system. Provide a continuously-playing copy in well-chosen locations within the Library and provide copies for loan to individuals and groups.



- a) Assign staff members (perhaps the Coordinator of Library Instruction and Coordinator of Library Publications) responsibility for writing the script, overseeing the production, and distributing and maintaining tapes.
- b) Hire outside expertise to produce master tape.
- c) Fund and install necessary equipment at locations where videos will be used.

**Strategy 6:** Provide computer-aided instruction for Library orientation and instruction in the use of reference sources.

- a) As an interim strategy, make fuller use of the Watson Library Reference Department's software "Reference Assistant." Upgrade it to include additional instructional material (especially that which is covered in basic Library tours). Use a disk version in group presentations outside the Library and make it available for individuals and groups for "check out."
- b) When feasible, develop sophisticated online and disk-based Library instruction modules to replace Library tours and basic instructional presentations by Library staff.
- c) Develop similar, more advanced modules tailored to specific subjects or types of resources.
- d) Eventually, integrate basic and advanced modules with online catalog both as free-standing programs and hyper-text help modules.
- e) Develop a reference question database. i) Over a one-year period, determine the most frequently asked reference questions. ii) Provide standard answers and sources for additional information. (3-4 months) iii) Deploy this database initially at the Watson Information Desk to enable staff with less formal training to provide guidance to more clients. iv) As database is refined, allow clients to access the database directly and expand to all Library facilities.

## **H. Provide adequate administrative support for and attention to the provision of reference, instructional, and access services.**

All of the expanded services recommended in I.C through G would currently be supervised by the Assistant Dean for Public Services, who is also responsible for supervising the activities of Watson public services and eight additional branch or departmental libraries (Art & Architecture, East Asian, Kansas Collection, Music, Regents Center, Science & Engineering, Special Collections, and University Archives). It is too much to expect one Assistant Dean to continue to supervise and coordinate their activities while overseeing and coordinating the planning and implementation of redesigned and expanded programs in reference, library instruction, space reallocation, collection transfers and shifts, document delivery and traditional interlibrary services, copyright compliance, and outreach programs—many of which cut across traditional public and technical service departmental boundaries.

It is therefore strongly recommend that the Dean review and augment the administrative structure to provide closer supervision and coordination of all these services.

## **I. Strengthen communication and cooperation both within the University community and with other libraries in the region to avoid unnecessary duplication of collections and programs.**

**Strategy 1:** Expand the University community's awareness of the impact of the maintenance and proliferation of departmental reading rooms when such facilities house materials which are not made known to other clientele via the campus network, have limited hours of access, and/or have the effect of discouraging clients who might otherwise come to the Library for use of a greater variety of materials and services. Advise departments of alternative benefits of expanded document delivery (see I.E.2 above) and networked access.

**Strategy 2:** Continue to urge University departments and administrators to incorporate the consideration of Library collections and services in the review of proposed new degree programs, the recruitment of faculty, the distribution of support funding from grant-funded research programs, and the preliminary planning of departments for reaccreditation review. Advise them that appropriate Library staff can provide information about owned collections and the Library's capability to provide needed access to unowned materials.

**Strategy 3:** Concentrate collection development and distribution of Library resources on materials in the Library's areas of emphasis, in accordance with the Collection Development Policy and Conspectus as verified by collection use studies. Collect "comprehensively" in an extremely limited number of areas.

**Strategy 4:** Facilitate the identification of cooperative ventures by improving communication among bibliographers at libraries within the region.

- a) Assign the Collection Services Librarian, with help and advice of other KU staff, to organize meetings of bibliographers from academic libraries within the region, roughly organized around collective areas of humanities, social sciences, and sci/tech interests, preferably to be hosted by the KU Library.
- b) Use these meetings to explore common interests and problems which might prompt cooperative ventures in collection development, resource sharing, and preservation.
- c) Plan additional meetings if level of interest and results warrant.
- d) Similar regional meetings of reference and instructional librarians should also be considered for the purpose of sharing results of new programs.

**Strategy 5:** To increase awareness of staff (and indirectly, client) knowledge of library resources which are in reach of the KU campus, encourage, through the Collection Services Librarian, an appropriate state body (e.g. the State Library or KLN Board) to design and issue a statewide electronic newsletter for bibliographers and selectors.

**Strategy 6:** Through bibliographers, the Collection Services Librarian, the Dean, the Publications Coordinator, and other appropriate staff, strongly promote increased faculty awareness and understanding of the issues of access vs. ownership—particularly targeting departmental Library liaisons. Communicate via printed newsletters, seminars, departmental meetings, and other available means. Incorporate improved use statistics (see I.A above) as an important component of discussions.

## II. Integrated Online System

### A. Specify requirements for a computer-based system that includes new core library functions, consortial capabilities, general network access to other systems, and an emphasis on the virtual library.

**Strategy:** In specifying a system, stress (1) broad connectivity, interoperability, and compliance with standards; (2) the ability to present new formats and types of materials; (3) simplicity and convenience for the client; (4) efficiency and effectiveness for staff users, including the ability to produce and/or support the provision of statistical data and reports; (5) the financial stability and general viability of the system provider; and (6) the overall approach and direction of the system.

- a) Create a brief “vision” statement describing the approach and functions of a new system. The vision statement will describe a system larger than what is normally thought of in a library “integrated” system. It will differentiate between core online library systems (usually described by the term “integrated”) and many associated computerized systems supporting administrative and individual staff needs. Responsibility: Library Automation Committee.
- b) Based upon the vision statement, create a draft “Request for Recommendation” (RFR) describing the shape and functions desired in a new integrated library system. This RFR will be used as the basis for determining the viability of local development and for soliciting vendor and Computer Center input into the process. Responsibility: Library Automation Committee.
- c) Submit the draft RFR to a small group of selected vendors. Invite them to respond both in writing and by visiting and presenting a formal demonstration. The written response should include standard pricing for their system components, but not a formal quote.
- d) Invite several library systems veterans from other institutions to visit and engage in discussions with staff, preferably to coincide with vendor demonstrations.
- e) Provide funds for appropriate site visits to other libraries and money for visits by other librarians to KU to discuss automation issues.

### B. Educate staff on what is possible and desirable in an online system; prompt staff to consider library-wide system issues; and present the advantages of a system change.

**Strategy:** Develop an appropriate program of discussions and demonstrations for staff that provides opinions and information from a wide variety of people including vendors, KU staff, and colleagues at other institutions. Responsibility: Library Automation Committee.

- a) Invite all staff to attend demonstrations given by vendors based upon the draft RFR.
- b) Provide “debriefing” sessions for staff following system demonstrations.

- c) Encourage all staff to hear presentations by library systems veterans from other institutions invited to visit and discuss automation issues.
- d) Charge knowledgeable Library staff to give tutorials and lead discussions on appropriate topics.
- e) Sponsor systems discussions that promote communication across departments and functions.

**C. Decide whether continued local development is a viable option for meeting the new specifications.**

**Strategy:** Use the vision statement, the RFR, input from possible vendors, and other information in discussions with Library and Computer Center staff to determine whether or not local development is the best option for building a new library system.

- a) Revise the RFR based on experience and knowledge gained through vendor discussions and demonstrations.
- b) Evaluate the potential of the current hardware and software platform in light of the vision statement and RFR.
- c) Estimate the effort involved in getting from where we are to where we want to be, e.g., number of programmer years, amount of local Library and campus resources needed, etc.
- d) Discuss campus computing and networking directions with the University Director of Administration, the director of Academic Computing Services, the director of the Office of Information Systems, the head of Telecommunications, and other appropriate members of their staffs.
- e) Make a formal decision, choosing one of the following two options: (1) local development is not a viable option and should be dismissed from further consideration; or (2) local development is a viable option and should be considered along with other systems. The second option would involve creating a formal response to the Library's eventual bid document to be used in comparing local development with vendor systems.

**D. Investigate consortial possibilities and technical requirements that may influence the choice of a new system.**

**Strategy 1:** Base any discussion and implementation of consortial online systems upon the use of standard formats and networking protocols, stressing interoperability of systems.

- a) Incorporate demands for demonstrated support for standard formats and protocols in any new system specifications.
- b) Remain committed to models proposed in the Systemwide Access Proposal.

**Strategy 2:** Actively pursue the possibility of operating a joint system with the KU Law Library and/or the KU Medical Center Library.

- a) Determine interest of other parties. This must be done as soon as possible.
- b) If one or both of the other parties is interested, develop system specifications to include estimates for the following: (1) union catalog capability; (2) linked systems running the same software; and (3) multi-library systems running on the same hardware/software.
- c) If one or both of the other parties is interested, include consortial specifications in bid document as variations or alternates.

**Strategy 3:** Pursue connectivity and interoperability possibilities with Regents Libraries. Survey current and planned online systems at these institutions that might affect consortial possibilities. Continually revise the Systemwide Access Proposal to reflect evolving installations and possibilities.

**Strategy 4:** Pursue connectivity and interoperability possibilities with members of the Greater Midwest Research Library Consortium (GMRLC). Initiate discussion with GMRLC members. Keep them informed of what we are doing and keep ourselves informed on what they are doing.

**E. Fund, install, and maintain the required networking and workstation infrastructure for the library.**

**Strategy 1:** Contribute some of the Library's own resources to build and maintain a network infrastructure, regardless of other circumstances or development.

- a) Seek year-end funds for networking and equipment costs for at least the next three years, as needed.
- b) Earmark funds for a maintenance/replacement program aimed at a 5-year replacement cycle.
- c) Spend a portion of regular Supplies & Expenses (S&E) monies each year for infrastructure.

**Strategy 2:** Pursue partnerships whenever applicable to fund networking infrastructure development.

- a) Contact academic and administrative departments in Murphy Hall and Spencer Museum to discuss cooperative wiring of those buildings. Do the same in any future shared facilities.
- b) Pursue funding of the Systemwide Access Proposal since it includes funding for networking infrastructure and workstations.

**Strategy 3:** Promote University-wide development of the networking infrastructure.

- a) Lobby in advisory committees (e.g., Information Systems Advisory Committee (ISAC), Academic Computing Advisory Committee (ACAC), Faculty Senate Academic Computing Committee) for central funding of the campus networking infrastructure.
- b) Emphasize in library publications and budget requests the need for and advantages of pervasive networking within the Library and the University.
- c) Make contributions to University-wide networking infrastructure costs whenever possible to promote remote access to Library files.

**Strategy 4:** Develop and maintain comprehensive staff and client access to remote sources of information through the network. Provide access to the network and its resources on all staff and client workstations.

## **F. Acquire an integrated system for new core library functions.**

**Strategy:** Solicit bids from vendors and a local development proposal coordinated by the Library Automation Committee for a new system with as general a statement of needs as is allowable. It will evaluate responses based upon data in the response, site visits, and demonstrations and will negotiate terms with the most desirable bidder.

- a) Prepare a final vision statement and RFR based upon experience and knowledge gained in the first round of vendor demonstrations and responses and in the consideration of local development. Responsibility: Library Automation Committee.
- b) Combine vision statement and RFR with additional specific requirements to produce a modest RFP describing desired hardware, software, and support.
- c) Publish RFP through state purchasing as a negotiated bid.
- d) Use vendor responses, site visits, interviews, demonstrations, and formal negotiations to determine a preferred vendor.
- e) Compare preferred vendor system with local development proposal (if applicable).
- f) Reach decision on inclusion in or exclusion from a joint project/system of Law Library and Medical Library.
- g) Make final decision, and if the choice is an outside vendor, negotiate a contract with that vendor.

## **G. Provide for the ongoing functions of operating, maintaining, and upgrading the core library system, the network infrastructure, and staff and public workstations.**

**Strategy:** Create a separate automation budget to pay for operations and support staff, hardware and software maintenance, hardware and software acquisition and replacement, and the development of new systems and services. The amount and types of expenses will depend upon the choice of local development or a vendor system, and would vary among different vendor systems. The allocation in either case, however, will need to be substantial and considerably more than the Library traditionally has paid for its core systems.

## **H. Manage and coordinate the implementation and ongoing use of the new core integrated system.**

**Strategy 1:** Separate long range automation planning, policy, and oversight from normal core integrated system coordination and management activities.

- a) Declare the Library Automation Committee (LAC) to be principally a policy, oversight, and planning committee.
- b) Create a new body, the "System Coordinating Council" (or "SCC") to discuss and handle most day-to-day issues related to the implementation and management of the new integrated system. The SCC will be created and charged by LAC and will respond to LAC requests and report to LAC on its activities, but it also will develop its own agenda items and proceed independently whenever appropriate.
- c) Maintain the several formal and informal function-based working groups (e.g., the "serials user group" and the "circ group") and attempt to tie them to the work and membership of the SCC.

**Strategy 2:** Stress interdepartmental communication and formalize the role of departmental representatives in implementing and coordinating the use of the core integrated system.

- a) Formally identify representatives from each department or appropriate interest group to serve on the SCC, making it part of staff descriptions.
- b) Designate the SCC as the principal forum for interdepartmental discussions related to the implementation and use of the integrated system and as a means of communicating with LAC on issues of Library-wide use of the integrated system.

**Strategy 3:** Provide ongoing training for staff in the use of the new integrated system. Designate the SCC to be responsible for coordinating staff training on the use of the core integrated system.

### **III. Total Online Access to KU Collections**

**A. Establish a detailed plan to insure total online access by June 30, 1999.** Affirm the necessity for the provision of online records in the most timely manner possible for all items in all collections, including catalog records not yet in machine-readable form as well as records for uncataloged backlogs. Cataloging and other processing objectives and priorities should reflect this necessity.

1. Consulting widely with both public and technical services staff throughout the Library, the Cataloging Policy Advisory Committee (CPAC) shall prepare a document which describes the general KU processing environment needed to meet the goals set forth in these recommendations and an outline of the acquisitions, cataloging, serials, and authority processes based on this environment. The implications of the proposals shall be spelled out.
2. Solicit input on the document from all Library staff with the objective of identifying the most egregious problems which might occur as a result of the CPAC proposal. Make adjustments to the document to eliminate them, if possible, or at least minimize them.
3. The Assistant Dean for Technical Services will issue a document giving timelines for various projects and will give regular updates on progress toward goals.

**B. REVIEW bibliographic standards and level of records.** Not all materials will or should require the same level of cataloging. For some materials "less-than-full" cataloging may be appropriate, especially if the alternative is no access at all. In short, some access is better than no access. In this context "full" is defined as AACR2r second level of description. Only in the most unusual circumstances would records be prepared at AACR2r third level of description.

1. Cataloging agencies should maximize the use of contributed cataloging copy from OCLC "as is" so that materials can be cataloged in a more timely manner.
2. Working with collection development staff, CPAC will identify materials for which "less-than-full" or minimal-level processing will be appropriate. Emphasis should be given to identifying categories of material which can be readily identified for this treatment rather than to identifying individual items. CPAC will also draft a minimal level record standard for review and comment.
3. CPAC will define the common cataloging standards to be used by all cataloging agencies participating in the KU Library Online Catalog, no matter at what level an item is being cataloged.
4. CPAC will prepare specifications which allow for the loading of retrospective cataloging records from all campus locations.

**C. REVIEW cataloging and processing procedures.**

1. Cataloging procedures should be modified to increase quantity and compatibility of output. Internal procedures should be reevaluated in each cataloging agency and standardized across the Library. The final authority for implementation of all cataloging policies and the efficacy of combining any cataloging agencies should be the Assistant Dean for Technical Services and CPAC should be the proper forum for debating and defining the needed uniformity in procedures.
2. Within each agency, procedures should be examined with the goal of increasing efficiency and productivity. Each agency should scrutinize its procedures to determine: whether the level of staff (e.g. LAI, LAII)

processing certain categories of materials might be changed (e.g. LAI's processing materials with contributed OCLC copy); whether more contributed copy (090) could be put through "as is," with little or no editing; and whether cataloging and authority procedures could be streamlined. Cataloging priorities should be set with input from Library staff in all units as appropriate. Developments or enhancements to OCLC, our primary cataloging database, should be closely monitored with an eye to taking advantage of efficiencies as they become available. The possibility of bringing in outside consultants for advice on procedures and continuing to investigate other institutions' methods should proceed.

#### **D. REVIEW STAFFING requirements to accomplish this plan.**

1. The Library should place more emphasis on cataloging output. Staff of the Library's cataloging agencies should study and recommend detailed procedures which will reflect this emphasis. Concurrently, the level of staffing required to remain current in processing and to work on backlog items should be determined.
2. The cataloging staff should be reorganized after the study is completed. The reorganization should be a result of recommendations from the various studies. Simplification of procedures will increase productivity and allow librarians more time for original cataloging of unique items.
3. Determine through sampling the kinds of cataloging copy available for backlog materials. On the basis of this data make decisions on treatment and level of staff needed for processing.
4. Explore the option of contract cataloging, authority processing, and/or retrospective conversion through OCLC, BCR, or other commercial vendors. Specific areas of the backlogs or materials needing retrospective conversion might be cataloged using this method. Authority work could be sent out periodically for maintenance/conversion.
5. The Collection Development Council should recommend which cataloging records on magnetic tape should be purchased for addition to the online catalog. Purchases could include tapes that would provide analytical access to microform sets which the Library owns as well as tapes which would expand the Library's holdings to include such collections as those of the Center for Research Libraries.
6. Another way to increase staff is to apply for grant funding to work on specific areas of the backlog that contain significant and/or unique materials, e.g. Slavic, SPLAT, Kansas Collection, and Special Collections.

#### **E. REVIEW EQUIPMENT requirements to accomplish this plan.**

1. The Library should provide every individual who is processing Library materials with a workstation which has access to internal Library databases and other databases in order to optimize processing production. There are several available options to accomplish this goal. One option is that the Library seek grant funding to catalog specific groups of materials and include equipment in the grant request. Another option is to use funds generated by the Regents Systemwide Access Proposal to buy equipment. A third option is to finance the purchase of additional equipment utilizing reallocated Library funds. A final strategy would be to prepare a special request of Academic Affairs to catalog special groups of materials and include equipment in the request.
2. As an interim strategy only, the Assistant Dean for Technical Services should investigate options to utilize existing equipment more efficiently. Efforts have already been made to do this, but further consideration should be made of the following options. The Library should stagger work hours of all processing staff to take full advantage of OCLC's expanded hours of access (now 23 hours/day). An effort should be made to make arrangements to share equipment with other Library departments, especially during hours of minimal use. And finally, the Library should try to identify useful equipment on campus which can be reassigned from units outside the Library.

#### **F. Review Collections in preparation for processing.**

1. Determine categories of materials for cataloging by KU staff and/or outside agencies.
2. Review the backlogs and remove unwanted materials. Materials that are no longer wanted for the Library's collections should be sold or donated to appropriate libraries and other groups, following established guidelines.
3. Determine items and groups of items for which minimal level cataloging would be most appropriate.
4. Establish priorities for cataloging these backlogs.

## **IV. Optimize Current Space, Facilities and Equipment, and Plan for New Space and Equipment.**

### **A. Provide an Organizational Structure which Facilitates Resolution of Space, Facilities and Equipment Needs Within the Library and Across Campus.**

Clearly identify responsibility for aspects of each area and guarantee lines of communication which will improve the Library's ability to meet better the goals of providing expanded well-equipped libraries with optimal conditions and security for collections, equipment, staff and users.

**Strategy 1:** Appoint a Library Space and Facilities Coordinator with responsibility across all Library units and with the following responsibilities:

- a) Anticipate space needs for collections and advocate for that space.
- b) Continually survey staff and client needs (preservation department, AV center, study areas, document delivery, bibliographic instruction space, work/conference areas, any other staff space need).
- c) Relate equipment needs to design of space.
- d) Work with support staff in shared concerns.
- e) Work closely with appropriate Library units as space needs arise.
- f) Help to find resources (identify grants, etc.) for ergonomic equipment.
- g) Develop timetables for implementing costly building repairs, ADA compliance, replacing inappropriate facilities (shelving, fire doors, etc.).
- h) Oversee ADA compliance.

**Strategy 2:** Appoint additional support staff, working closely with the Library Space and Facilities Coordinator, to accomplish the following:

- a) Coordinate communication of Library needs with other agencies (Housekeeping, Facilities Operations, Telecommunications) and within the Library.
- b) Coordinate regular schedule of maintenance of emergency equipment (fire extinguishers, emergency lighting) and identify areas requiring regular maintenance (leaded windows above Periodicals, Watson front steps, etc.).
- c) Work toward housekeeping methods and practices most conducive to health and safety of building occupants (e.g., dust and pest control).
- d) Be aware of and report building conditions detrimental to the health and safety of users, staff and collections.
- e) Coordinate use and/or purchase of emergency and health-and-safety-conscious equipment (both housekeeping and Library equipment).

**Strategy 3:** Designate "departmental technicians" (technical support personnel) to "maintenance units" (specified blocks of equipment throughout the Library system) or areas of service. Use of electronic equipment in provision of Library service will increase, requiring greater amounts of time devoted to operation and care of such equipment. Although most present library staff are prepared to become competent in the operation of such equipment, most have neither the training nor available time to care for such equipment. There is no mechanism for communication of individual solutions to various equipment problems beyond the immediate circle of a department or even a portion of a department, therefore the same problem may be solved repeatedly (or remain unsolved). Personnel of the Automation Department are too few, too busy and too far away to respond immediately to calls for assistance.

- a) Determine "maintenance units." This might be an entire building with relatively few troublesome machines or a major department within a multi-department building.
- b) Identify at least one person already competent in care of computers, printers, CD-ROM units, etc., who is prepared to respond to calls for technical support at all times for each maintenance unit.
- c) Designate formally trained support staff member to provide technical support for each maintenance unit.
- d) Identify, co-ordinate and schedule involved personnel; re-assign personnel time.
- e) Develop formal training program by Automation Department.

### **B. Administrative Initiatives** which could be accomplished within the Library, without extensive involvement of outside agencies.

**Strategy 1:** To help prevent muscle fatigue, or other disorders related to use of non-ergonomic equipment, the Library Administrative Office should stock wrist rests, corrective cushions for proper back support, filters

that reduce the glare of computer screens, or other relatively inexpensive compensatory devices for use by staff.

**Strategy 2:** Purchase ergonomic chairs for all appropriate staff and public workstations.

**Strategy 3:** Develop and implement a schedule/timetable for increasing the numbers of computer workstations, copiers, micro-format readers/printers, etc., currently available to staff in the Library.

**Strategy 4:** Make health, safety, and ADA standards a criterion in the bid specifications for new equipment contracts.

### **C. Develop Comprehensive Short-term Plans to Improve and Expand Existing Space and Facilities.**

**Strategy 1:** Plan for reallocation of space in Watson Library to allow for a preservation department, AV center, study areas, document delivery, bibliographic instruction space, work/conference areas, and other staff space needs.

**Strategy 2:** Determine the need/feasibility of an off-site storage facility.

**Strategy 3:** Identify all book storage areas that would support compact moveable shelving, and install.

**Strategy 4:** Develop a timetable for upgrading to shelving that is appropriate for all collections.

**Strategy 5:** Study options for solving airflow problems.

**Strategy 6:** Study improved lighting for existing buildings, e.g., individualized workstation lighting, motion-sensitive lighting, etc.

**Strategy 7:** Work to address security of collections and staff.

a) Investigate a safe security system for non-book materials.

b) Keep unprocessed acquisitions in areas not readily accessible to the public to discourage theft of unprotected Library materials.

c) Assure personal security in the stacks.

### **D. Develop Long-term Plans for Future Space Needs.**

**Strategy 1:** Actively pursue Phase II of the Anschutz Library expansion.

**Strategy 2:** Maintain active presence on University committees that deal with space issues.

**Strategy 3:** Work with other University agencies to develop a timetable to insure that all Library buildings are in compliance with ADA.

**Strategy 4:** Develop timetables for recommendations generated by the Space and Facilities Coordinator.

## **V. Staffing and Organizational Issues.**

### **A. Develop the Expertise of the Library Staff.**

**Strategy 1:** Increase support for training, continuing education, professional development, and research.

a) Assign responsibility for coordinating staff development to an existing or new position. This staff member should work with an advisory group, either a newly created one or the existing Staff Development and Staff Orientation committees.

b) These staff would carry out the following responsibilities:

1. Assess needs for orientation, training, development and continuing education.

2. Develop policies for staff involvement in staff development activities.

3. Create a staff development program with the following components:

Orientation programs emphasizing the Library's mission and goals.

Training programs which draw on Library, University, BCR, ARL and other resources, incorporate varied instructional methodologies and assure post-training follow-through on the job.

Support for participation in local, state, national and international professional conferences and continuing education opportunities.

Help for individual staff in identifying career paths and developing their own personal career plans.



Support for staff who undertake Master's degree programs in librarianship.  
Training and support for research.

**Strategy 2:** Promote a shared sense of direction among all Library staff.

- a) Communicate regularly to the staff the mission, values, goals, and policies of the Library.
- b) Each department should develop an annual plan to describe how it intends to further the Library's mission and goals.
- c) Each staff member's assignment, responsibilities, and performance expectations should reflect the departmental plan and the Library's mission and goals.
- d) Strengthen efforts to encourage, acknowledge, and reward excellent performance.

**Strategy 3:** Supervisors and staff should work together to create for each staff member a work assignment that is meaningful, rewarding, and offers opportunities for growth.

- a) Each assignment should reflect the current needs of the Library. Given the major changes facing the Library, most staff members' assignments, and perhaps all, will need to evolve and change from what they were at the time of initial appointment.
- b) Encourage flexible work assignments through such mechanisms as cross-training, internships, lateral transfers, participation in cross-functional teams, job rotation, job sharing and part-time positions.
- c) Team approaches may be useful in many areas, and are strongly encouraged.
- d) Strongly encourage the inclusion of a public service component in every staff member's assignment.
- e) Day-to-day management of Library operations should increasingly become the responsibility of classified staff, whose leadership skills must be recognized and cultivated. Roles of both classified and unclassified staff must change and expand.
- f) Administrative assignments (department heads and deans) should be subject to review. In some departments or functions, rotating or team leadership may be desirable. Mechanisms such as these can help the Library to refresh and nurture leadership.
- g) Identify staff to develop and manage a health and safety/wellness program in line with the recommendations of the Library Employees Health and Safety Committee, and to work with the University programs evolving in this area.

## **B. Increase the Diversity of the Staff.**

**Strategy 1:** Establish a diversity program. The minority pool of recruits in library schools continues to decline. If the Library wants to increase the minority ratio of its staff, it must start at the student assistant level: recruiting minority students to work in the Library, encouraging them to examine careers in libraries, and sponsoring them in library school.

- a) Assign responsibility for diversity to an existing or new position and create a small diversity advisory group.
- b) These staff would be charged with the responsibility to:
  1. Conduct a needs assessment.
  2. Study successful programs at other universities (UCLA, Iowa, Iowa State, Michigan, etc.)
  3. Develop a diversity plan, based on this information.

**Strategy 2:** Actively recruit and retain staff with diverse qualities.

- a) Emphasize the importance of diversity at the first meeting of each search committee, and provide informational packets on diversity for each committee member.
- b) Expand advertising and recruiting efforts.
- c) Hire qualified minorities without a search, using special funding which may be available from the University.
- d) Increase libraries' and library schools' awareness of Haskell Indian Nations University as a potential recruitment source.

**Strategy 3:** Develop a minority student assistants program.

- a) Begin process of creating Library staff diversity by actively recruiting minority students.
- b) Establish a program for KU minority students to work in the Library.
- c) Establish an internship program specifically for Haskell students; network with Haskell to recruit scholarship and/or internship applicants.
- d) Network with other minority offices on campus.

**Strategy 4:** Establish fellowships, internships, and scholarships for minority students

- a) Establish scholarships with Emporia State University (ESU) for minorities to complete library school. Graduates would be required to work for KU Library for a specified period of time (eligibility: student and classified employees).
- b) Provide leave with pay for minority staff to complete the MLS degree.
- c) Develop a minority internship program for students to assess their interest in library science as a career, followed by a scholarship to ESU's School of Library and Information Management program with a contract for a position in the KU Library following completion of the MLS.

### **C. Strengthen Communication Within the Library.**

**Strategy 1:** Promote the direct, unfiltered flow of information to all staff.

- a) The Dean should hold regularly-scheduled (perhaps monthly) reporting sessions open to all staff. The purpose of these sessions should be primarily informational, with opportunity for questions and answers. At least one staff member from each department should attend.
- b) Forums to discuss substantive issues, open to the staff as a whole, should also be scheduled as needed. Staff may propose to the Dean that an open forum be held on an issue of interest.
- c) Department heads should hold regular staff meetings (minimum of once per month) to share information, including reports from the sessions in "a" above.

**Strategy 2:** Smaller meetings, with participation limited to those staff affected by or involved in a specific issue, should be convened as needed by senior administrators or coordinators.

**Strategy 3:** Promote lateral as well as hierarchical communication. Encourage staff to communicate directly across departmental and functional boundaries whenever possible. Administrators at all levels must be consulted and kept informed, but controlling and managing the entire information flow cannot and should not be entirely their responsibility.

**Strategy 4:** Each department head should prepare a one-page quarterly report on activities of the unit to be shared widely within the Library.

### **D. Develop Clearer Decision-making Processes.**

**Strategy 1:** Promote collegial and participative decision-making. This does not mean that everybody must be involved in making all decisions, or that all decisions must be made by consensus, or even in line with the wishes of the majority. All staff who are affected by a decision and who have to implement it should have the opportunity to provide input into the decision before it is made. That input may be direct or through representatives, depending on the breadth, importance, and urgency of the issue. On many issues some staff will not agree, given their natural diversity of points of view; nevertheless, it will be necessary for the Library to move ahead. This requires that administrators make and be accountable for decisions that will not have the full agreement of the staff. Broad input is needed to produce decisions that staff can understand and implement, but it cannot be allowed to delay decision-making or create gridlock.

**Strategy 2:** Build leadership and decision-making capability at all levels of the organization. Besides the responsibility for making decisions, administrators have the equally important duty to develop leadership and decision-making capabilities in their staff. They should create an environment in which staff become able to solve problems on their own and to take action on proposals individually and in groups. For their part, staff must take greater initiative and responsibility. Administrators are responsible for managing the boundaries—alerting staff to additional factors they must consider, additional information they must gather, or people outside the unit with whom they must consult. The sign of successful leadership is that staff themselves are able to make more and more decisions about the work they do, within and across departmental lines. The Library needs to be fully committed to meaningful participation of all staff in the work of the Library, and the place where this participation should first become reality is at the level of day-to-day operational decisions.

### **E. Develop an Organizational Structure that Facilitates Decision-making.**

**Strategy 1:** For administering Library-wide functions that involve staff in different departments and divisions, consider the "coordinator" model. A coordinator might or might not head a department of his/her own. He/she would not have hierarchical authority over staff in other units, but would serve them as a leader, resource person and facilitator, and would consult with them, either informally or through an advisory group. Versions of this are already in place in three areas: automation, publications, and collection

development. It may be a useful model for other emerging Library areas that do not yet have an organizational structure in place: preservation, library instruction, document delivery, and space and facilities planning. Whether the coordinator could actually make final decisions, or would recommend them to a higher-level administrator, should probably be resolved in advance in each case. Designating coordinators with Library-wide responsibilities could provide a mechanism for keeping at least the decision-making process (if not the final decision) at the same level as operational responsibility. If the Library moves in the direction of Library-wide coordinators with decision-making authority, the future role of assistant deans might need to be examined.

**Strategy 2:** Clarify the decision-making and/or advisory role of each working group in the Library (committee, task force, council, advisory board, etc.). The Library has tended to over-use committees. Some committees now in existence do not have a clear purpose, or exist primarily to give their members the opportunity for participation and input, rather than to accomplish an actual task. Groups will continue to be important in accomplishing the work of the Library, and may function more effectively in the future if the following recommendations are kept in mind:

Working groups should be time-limited. Task forces naturally go out of existence when their task is completed, but even ongoing committees should be subject to a “sunset law” or be reviewed periodically.

Members should be selected on the basis of expertise, or an initial educational process must precede the actual work of the group. Committees should exist to do real work, not to provide service or participation opportunities for staff. The need for expertise should be a greater factor than it is at present in determining how often and how extensively the membership of a group should change. Committees should be representative and use expertise as a criterion for membership—the two need not be in conflict.

Each committee or task force (non-governance) should work directly with the administrator who developed the group’s charge, and this administrator should have the authority to clear action step by step, authorize expenditures, and approve recommendations. This administrator should also help the group with the process of obtaining the necessary input from outside the group.

Library Faculty Assembly and Classified Conference should consider reviewing their committee structures. This process should not begin immediately but 1-2 years from now, to allow time for strategic planning recommendations to be implemented and their effects observed. Such reviews may find that certain committees with mixed governance/administrative functions would no longer need to exist.

**Strategy 3:** Whenever possible, provide program areas with budgets. Decisions are often delayed by the lack of authority to spend money and by the requirement that budget requests be referred upward and (in most cases) await consideration as a group only several times each year. Recognizing that extremely tight budgets are the reason for this policy, nevertheless, it is recommended that it be reviewed.

**Strategy 4:** Dissolve Administrative Conference. Because this group is too large for effective discussions, its meetings serve primarily as a mechanism for the Dean to share information which should probably be made available to all staff rather than limited to department heads (see the proposed all-staff monthly informational session proposed in V.C.a.1 above). Technical Service department heads and Public Service department heads already meet regularly for discussion and sometimes for decision-making. These smaller sessions are very important and should continue, even though the division of departments into these two groups may not be the most logical.

**Strategy 5:** Create a small, representative group of staff to serve in an advisory capacity to the Dean. Such an advisory council would provide a confidential sounding-board, discuss ideas at an early stage, react critically to proposals, advise on consultation mechanisms, and recommend actions. The council would be appointed by the Dean, drawing from the staff at large. One or two members should change every year. The selection criteria should be knowledge of the Library and understanding of its mission, ability to maintain confidentiality, openness to change, and a system-wide perspective.

## **VI. Development, Outreach, and Public Relations.**

### **A. Identify and Pursue New Funding Sources.**

**Strategy 1:** Increase staff support for development.

- a) Increase clerical/technical assistance for the Dean in such areas as drafting correspondence, organizing mailings, developing and maintaining a database of prospects and fundable projects, planning for meetings and making travel arrangements.
- b) Designate professional staff, such as an Assistant to the Dean, to support the Dean's fund-raising activities and to serve as a liaison to the KUEA Development Officer, working with him to develop and implement major fund-raising proposals and to identify potential sources of donations.

**Strategy 2:** Intensify efforts to attract grants.

- a) Designate one or two staff members as "grants coordinators" for the Library on a part-time basis (0.25 FTE or less). They would strengthen the Library's grant-seeking efforts by identifying grant opportunities, maintaining contact with Research Support and Grants Administration, and helping to prepare applications.
- b) Support units involved in grant activities by providing them with temporary student or staff assistance to carry on day-to-day operations.
- c) Seek to attract foundation and corporate as well as federal grants. Encourage bibliographers to explore the possibility of creating Library components (e.g., funds for equipment or collections) in grant applications prepared by other units of the University.

**Strategy 3:** Strengthen donor relations efforts.

- a) Prepare a brochure for potential donors of collections, to explain collection emphases and gift policies; distribute the brochure to the Friends of the Library and the KU Endowment Association, and enlist their help in identifying potential donors.
- b) Offer a donor relations workshop for bibliographers. Bibliographers with extensive donor relations experience could offer the workshop for their colleagues with less experience.
- c) In the basic training that all new library staff and student employees receive, include information on how to respond to inquiries from potential donors.

**Strategy 4:** Intensify efforts to secure increases in state funds.

- a) Work with the University administration to improve compensation for classified and unclassified Library staff, and to increase the student wages budget, emphasizing the potentially devastating impact on basic library services of further increases in the minimum wage that are not matched by increased base budget funding.
- b) Work with the University administration and other Regents libraries to communicate to legislators and others the critical need for and benefits of the Systemwide Access Proposal. Emphasize the long-term importance of providing one-time funds and increasing base monies for networking infrastructure, a new online library system, and equipment, as well as collections and information resources.

**Strategy 5:** Seek partnerships within the University and cooperative or consortial agreements within the state and region. Use these relationships to expand the Library's capabilities in information technology, staff development, preservation, collection development, document delivery, and other areas, as well as to share costs. Pursue joint efforts to attract grants and other external support.

## **B. Increase the Library's Visibility as an Integral Part of the University Community.**

**Strategy 1:** Create and promote a more positive image of the Library.

- a) Seek additional opportunities for the Dean to speak on library issues to faculty and student audiences on campus, as well as additional opportunities for campus administrators and leaders to interact with Library staff. Bibliographers, as the Library's liaisons to academic units, need to become even more effective at communicating Library issues to faculty, and vice versa.
- b) Appoint a communications task force to review and strengthen the Library's external communications, utilizing the services of a private consultant or of the School of Journalism. Include all aspects of communication in the review, including publications, publicity, exhibits, signage, policy statements, and computer screens.

**Strategy 2:** Increase Library publicity.

- a) The Library should become a highly visible participant in University-wide events designed for parents, alumni, and the community, such as Alumni Weekend, Parents Weekend, and the Saturday Seminars.
- b) Plan special public events that will publicize the Library and its services and collections (e.g., open houses for Friends and donors, receptions for faculty authors, poetry readings).

c) In cooperation with University Relations, increase the number of stories on the Library that appear in the *Oread*, *University Daily Kansan*, *Kansas Alumni Magazine*, *Explore*, *Report*, *Lawrence Journal-World*, and any other publication, as well as any other media, likely to reach alumni and potential donors.

d) Employ imaginative promotional devices. Tastefully designed products can simultaneously serve a utilitarian purpose and promote a positive image of the Library. Examples include rain bags for books, t-shirts, tote bags, coffee mugs, and bookmarks. An adjunct could be the adoption of a KU Library logo. (Students in KU design classes or local designers might be invited to submit designs as part of an assignment or as a *pro bono* service.)

e) Consider the possibility of committing additional staff resources to the outreach and public relations function. One option might be to convert to permanent and full-time the present temporary, part-time Publications Coordinator position, and assign to it the responsibility for public relations.

**Strategy 3:** Strengthen ties to the Friends of the Library.

a) Increase the staff's understanding of the Friends' role as a vehicle for publicizing the Library and celebrating special events.

b) Help the Friends increase their membership and attract a new generation of supporters by encouraging Library staff and student employees to join and to suggest names of prospective members (faculty, community people, or businesses).

c) Develop opportunities to increase Friends' knowledge of the Library and to promote contacts between Friends and Library staff. This could include, for example, organizing special educational programs for the Friends (workshops, tours, seminars).

d) When appropriate, invite the Friends to become involved in fund-raising for the Library. Their help in making personal contact with corporations and foundations could be especially useful.

**Strategy 4:** Working alone or with other units on campus, invite guest lecturers to campus to speak on subjects in which the Library specializes.

**Strategy 5:** Continue to use exhibits to promote the use of the Library's collections and services and to recognize significant events and/or individuals. Encourage staff to mount exhibits. Provide funds for catalogs, brochures, and publicity to promote exhibits.

### **C. Promote and Recognize the Role Each Staff Member Plays in Building Support for the Library.**

**Strategy 1:** Increase staff knowledge of public relations, budget issues, and the development process. All staff must understand that increased support depends not only on the Library's performance but also on its image. The Library's basic orientation for new staff could include a program in this area, as well as in dealing with potential donors or with the press. The regular Library budget forums that are presently held are an important part of this and should continue. In addition, periodic updates on budget issues facing the University and the legislative process could also increase staff awareness.

**Strategy 2:** Recognize the Library's student employees as a potential "alumni" base and future source of support. Strengthen ties between the Library and its student employees. Among other options, consider developing a scholarship or award program, and maintaining a mailing list of former student employees (with help from the Alumni Association).

**Strategy 3:** Encourage Library staff participation in the University community and in library activities at the state level and beyond.

a) University: It is important that Library staff seek opportunities for service to the University (e.g., through committee work). Staff who understand the workings of the University are able to serve faculty and students more effectively and better represent the Library to the community.

b) State: Participation in KLA/CULS, work on state-wide committees, and cooperation with Regents and other libraries is equally important in developing staff knowledge of the state context for libraries and higher education. A high profile for KU Library staff within the state can also help create general goodwill toward the University, ultimately influencing legislators, potential donors and others.

c) Regional/national/international: Involvement is essential to the University's reputation to become informed about new grant and other funding opportunities, and to learn from the activities of colleagues in other libraries. Increased support for travel costs will be essential to promote this involvement.

### **D. Demonstrate Effective Management of Resources.**

**Strategy 1:** Participate actively in concert with University efforts in this area.

- a) Work with the University to develop unified data management systems that will allow shared online access across campus for purchasing, payments and accounting, employee payroll, and inventory.
- b) Work with the University to develop flexible and simple procurement procedures.
- c) Work with the University to create among the Library, the Computer Center, Facilities Operations, and Telecommunications, the coordination needed to assure timely planning and installation of wiring and other computer-telecommunications infrastructure.
- d) Within the Library, minimize duplicate record-keeping and keying of data by programming Library databases (student employee, inventory, equipment requests, fund-raising proposals) in such a way as to allow access and updating by department staff.

**Strategy 2:** Through surveys and other research methods, repeatedly evaluate the effectiveness and continued utility of all operations and services, and determine the need for new or different services.

**Strategy 3:** Improve coordination among the Library's current fund-raising, grants, public relations, and events planning efforts, by such possible mechanisms as a "development team" composed of staff with responsibilities in these areas.

**Strategy 4:** Consider whether the Library, in the absence of substantial infusions of new state or external funds, should consider a major internal reallocation of resources from the acquisitions budget to automation. Because a new automated system and its associated infrastructure and equipment must be in place for the Library to make progress in virtually all the key initiatives outlined elsewhere in this plan, obtaining the funds to acquire and operate this system is one of the Library's top priorities. Unless the State or University can provide new resources, reallocation from the book budget may be the only way to identify the needed funds.

## IMPLEMENTATION

The Action Plan identifies a number of activities to be carried out in the next decade. Listed below are the Steering Committee's recommendations for wide-ranging initiatives to be implemented during the first two and a half years of this period; to attempt a longer time period would be overly speculative. Within each year and each section there is no order of priority. The Steering Committee believes that it is realistic to begin simultaneous implementation of all these initiatives.

### FY 94

#### **Collections, Services, and Programs**

- Complete the addition of *Expanded Academic Index* to the Online Catalog.
- Recruit a Coordinator of Library Instruction and begin needs assessment.
- Recruit an Interlibrary Loan/Document Delivery Librarian and begin needs assessment.
- Augment the administrative structure to provide closer supervision and coordination of Watson public services and new interdepartmental services, such as document delivery.
- Recruit a Preservation Officer.
- Establish a task force to begin collection use analysis.
- Initiate bibliographer review of backlogs and unconverted collections.

#### **Integrated Online System**

- Initiate recommended process for obtaining a new integrated online system.

#### **Online Access to Collections**

- Review cataloging values, standards, procedures and staffing and develop plan for total online access to be complete by 1999.
- Implement plan to enter all current cataloging from all cataloging agencies into the online Catalog.
- Begin reviewing and cataloging backlogs.

#### **Space, Facilities, and Equipment**

- Recruit a Space and Facilities Coordinator and begin needs assessment.
- Continue implementation of Health and Safety Committee recommendations.
- Designate and train departmental technicians to maintain equipment.

#### **Staffing and Organization; and Development, Outreach, and Public Relations**

- Support existing and/or new staff who have system-wide responsibilities in the areas of staff development, diversity, development, public relations, space planning, facilities maintenance, and health and safety by recruiting a minimum of two clerical/technical staff.
- Initiate recommended changes in the decision-making and communication structure.
- Begin contact with KU Human Resources regarding team building for departments and/or program areas.

## **FY95**

### **Collections, Services, and Programs**

- Determine staffing needs to support the recommended course of action in collection services and recruit additional staff if necessary.
- Continue enhancing the Online Catalog with supplemental databases.
- Develop and begin implementing an innovative plan for reconfiguring public services in Watson Library (administratively and physically).
- Develop a system-wide library instruction program and begin implementation.
- Develop a system-wide document delivery program and begin implementation.
- Develop a system-wide preservation program and begin implementation.
- Identify collections to be located in Hoch.
- Continue bibliographer review of backlogs and unconverted collections.

### **Integrated Online System**

- Complete process of selecting and acquiring a new integrated online system.
- Expand networking and workstation infrastructure.

### **Online Access to Collections**

- Provide networking and workstation infrastructure, with access to all necessary online resources, for all staff processing Library materials.
- Initiate system-wide retrospective conversion.
- Prepare grant applications for processing of appropriate parts of the backlog.
- Continue reviewing and cataloging backlogs.

### **Space, Facilities, and Equipment**

- Develop and implement short-term plans to address Library-wide space, facilities, and equipment needs.
- Begin long-term planning for Library space needs.
- Continue implementing Health and Safety Committee recommendations.

### **Staffing and Organization**

- Reallocate staff and/or create new positions to insure successful implementation of strategic planning goals.
- Review assistant deans.
- Begin team building training in several departments and/or program areas.
- Conduct a staff development needs assessment and allocate additional resources to this area.
- Begin developing a diversity program.

### **Development, Outreach, and Public Relations**

- Identify funding for the new integrated online system.
- Increase the Publications Coordinator to a full-time position and add responsibility for public relations.
- Determine staffing needs to support the recommended course of action in development and fund raising, and recruit additional staff if necessary.



## *Implementation*

### **FY96**

#### **Collections, Services, and Programs**

- Continue enhancing the Online Catalog with supplemental databases.
- Continue implementing the library instruction program with particular focus on the new integrated system.
- Continue implementing the document delivery program, recruiting additional staff as needed.
- Continue implementing the preservation program, recruiting additional staff as needed.

#### **Integrated Online System**

- Implement the newly acquired integrated online system.
- Continue to expand networking and workstation infrastructure.
- Increase Coordinator of Networked Information to full-time position.

#### **Online Access to Collections**

- Continue reviewing and cataloging backlogs.
- Continue system-wide retrospective conversion.

#### **Space, Facilities, and Equipment**

- Complete plan for long-term space needs and present to University administration.
- Continue developing and implementing short-term plans to address library-wide space, facilities, and equipment needs.
- Continue implementing Health and Safety Committee recommendations.

#### **Staffing and Organization**

- Begin reviews of department heads.
- Continue team building training in additional departments.
- Continue reallocating staff and/or creating new positions to insure successful implementation of strategic planning goals.
- Continue to increase funding for staff development.
- Expand the diversity program.
- Encourage the Library's governance organizations to review their meaning, purpose, and structure, in particular as they might duplicate administrative functions.
- Assess the need for additional personnel to support staff development and diversity, and recruit if necessary.

#### **Development, Outreach, and Public Relations**

- Continue to expand development, fund raising, and grant seeking efforts.

#### **TASK FORCES**

**Intellectual Access to Collections and Information Resources (Regardless of Where Located).** Nancy Burich, Richard Clement, Paulette DiFilippo, Judith Emde, Geoff Husic, Bob Marvin, Jim Neeley (Chair), Rich Ring

**Development of and Physical Access to Collections and Information Resources (Regardless of Where Located).** Sarah Couch, Carole Dibben, Mary Hawkins (Chair), Rob Melton, Kathleen Neeley, Bob Pisciotta, Becky Schulte, Eleanor Symons, LeAnn Weller

## *Implementation*

### **Reference and Instructional Programs.**

David Benjamin, Susan Craig (Chair), Kathy Graves, Channette Kirby, Lorrie Knox, Ken Lohrentz, Alexandra Mason

### **Space, Facilities, and Equipment.**

Janet Anderson-Story (Chair), Susan Hitchens, Lars Leon, Al Mauler, Kent Miller, Shelley Miller, Marianne Reed

**Staff.** Mary Ann Baker, Gaele Gillespie, Sandy Gilliland, Bayliss Harsh, Kathleen Neeley, John Richardson, Margaret Wilson (Chair)

**Financial Resources and Development.** Mary Burchill, Sue Hewitt, Nancy Jaeger, Rachel Miller, Mary Rosenbloom, Brad Schaffner (Chair), Geri Slater, Sherry Williams

**On-Line Systems.** George Gibbs, Mary Hawkins, Patrick Kingsbury, John Miller (Chair), Kent Miller, Jim Neeley, Mary Roach, Sherry Williams