Ethical and accountable governance of libraries

Keith Webster
University Librarian & Director of Learning Services
Some health warnings

• Not a “how UQ does it good” overview
• We are embarking upon a journey
• This is an opportunity to get messages across to decision makers – what is the message?
<table>
<thead>
<tr>
<th>Build the digital research environment</th>
<th>Enhance the student experience</th>
<th>Provide convenient and customised access to information</th>
<th>Maintain and develop community partnerships</th>
</tr>
</thead>
<tbody>
<tr>
<td>Practise ethical and accountable governance</td>
<td></td>
<td>Develop and support our people</td>
<td></td>
</tr>
</tbody>
</table>
- conduct a review of its services, costs, expenditure and income and refine the financial model for its services based on an understanding of cost drivers, and implementing economies of scale.

- develop a governance training programme for Library Committee members

- construct a risk management matrix and implement appropriate controls

- participate in the University’s commitment to best practice in environmental sustainability.

- contribute as appropriate to University governance.
Governance in the university

Good governance
The place of the Library in the university
Library resourcing and performance

The UQ experience
Planning for good governance
Values
Academic governance
Risk assessment
Capital and space utilisation
Workforce planning
Academic freedom

Orientation
Library perceptions
Library realities
Library directions
Orientation

Library perceptions
Fussy old woman of either sex, myopic and repressed, brandishing or perhaps cowering behind a date stamp

• Crowell, 1980

Old maid, shrivelled prune, loveless frump

• Adams, 2000
“The image of librarians in popular culture discourages a user from approaching a librarian”

• Nilsen and McKechnie, 2002
Orientation

Library realities
A Student’s Guide to Evaluating Libraries in Colleges and Universities

Selecting the college or university that you will attend is among the most important decisions you will make in your life. You should carefully examine all aspects of an academic institution including the faculty, academic programs, and facilities. While there are a wide variety of guides and lists ranking institutions, you need to choose an institution that reflects your personal goals.

One of the factors to consider when choosing your college is how well its library will help you succeed in this increasingly complex and often chaotic information age. According to some experts, the amount of information available will more than double by the time you obtain your undergraduate degree. Therefore, locating and evaluating information is critical skills in becoming and remaining an educated individual. The library is an important source of information, and the academic library staff will help you develop these valuable skills.

Your selection of a college or university should include an evaluation of the library and its services and resources. Identifying and evaluating a good library are important in determining the level of educational opportunities an institution will provide you during your academic career. To help you make a decision about which college or university to attend, the Association of College and Research Libraries (ACRL) has prepared this Guide to Evaluating Library Services on Campus with questions to consider in three critical areas: services, facilities, and resources.

Facilities

The electronic information that is accessible from your residence and other locations may meet some of your information needs, but the campus library will provide an important environment for your education. In the library, you will have the opportunity to receive individual and group instruction, to study alone or in groups, to obtain assistance with assignments, to use books and journals, to use computers for accessing databases and web-based resources, or just to meet with friends.

- Is the library building easy to find?
- When you are in the library, can you easily find your way around?
- Is the library space appealing?
- Is there adequate space for users and collections?
- Is there a variety of study spaces?
- Are the library hours convenient?
- Can the library accommodate any disabilities or special needs you may have?
- Are multimedia production facilities available for your use?
The impact of facilities on student retention and recruitment

Extremely important facilities in selecting an institution

- Facilities for major
- Library
- Sophisticated IT
- Classrooms
- Accommodation

Importance (%)
Importance in retention

• Key facilities of importance to students were:
  – Facilities in their major
  – Libraries
  – Classrooms
  – Technology
Other realities

• Libraries are critical components of the learning, teaching and research infrastructure
• Libraries are a factor in academic choice of university
• Libraries form part of the rating used in university league tables
• Without the library, many universities would have to close
How do we add value?

• British Library adds £363m of value to the economy each year
• Library support adds value to teaching and research in universities, in turn benefiting the nation culturally, socially, economically and intellectually
• School libraries develop information literacy from the earliest age, fostering active citizenship
## Making a difference

<table>
<thead>
<tr>
<th>Adverse event avoided</th>
<th>PERCENT</th>
</tr>
</thead>
<tbody>
<tr>
<td>Hospital admission</td>
<td>11.5</td>
</tr>
<tr>
<td>Hospital acquired infection</td>
<td>8.2</td>
</tr>
<tr>
<td>Surgery</td>
<td>21.2</td>
</tr>
<tr>
<td>Additional tests/procedures</td>
<td>49.0</td>
</tr>
<tr>
<td>Additional out-patient visits</td>
<td>26.4</td>
</tr>
<tr>
<td>Patient mortality</td>
<td>19.2</td>
</tr>
</tbody>
</table>

Marshall, 1994
Orientation

Library directions
Good governance

Governance in the university
ASX Principles of Good Corporate Governance

- Lay solid foundations for management and oversight
- Structure the board to add value
- Promote ethical and responsible decision-making
- Safeguard integrity in financial reporting
- Make timely and balanced disclosure
- Respect the rights of stakeholders
- Recognise and manage risk
- Encourage enhanced performance
- Remunerate fairly and responsibly
- Recognise the legitimate interests of stakeholders
Corporate governance principles

• Promote ethical and responsible decision making
• Effectively manage risk
• Improve performance
• Recognise and give effect to legal and other obligations
• Be accountable to stakeholders including the broader community
• Promote confidence amongst stakeholders in the integrity and values of the organisation
<table>
<thead>
<tr>
<th>Governance in the university</th>
</tr>
</thead>
<tbody>
<tr>
<td>The place of the library in the university</td>
</tr>
</tbody>
</table>
Governance in the university

Library resourcing and performance
The UQ experience

Planning for good governance
Strategy development

Strategy implementation

Strategy review

2007

2009

2011

2008

2010

2012

Operational plan

Projects list

- Action plan (annual)
  - Strategy implementation
  - Project proposals

- Budget allocations

- Review and update strategy based on environmental scanning
Planning process

- Scenario planning
- Strategic planning
- Project planning
- Operational/action planning
Alignment of planning activities

- The Action Plan will be developed around the key strategic priorities which are a key part of the externally-facing strategic plan under development.

- The Financial Plan attempts to underpin these key strategic priorities, set against a tough backdrop of realistic income expectations.

- The Balanced Scorecard metrics will be developed to try to measure progress against our strategic priorities.
Initiation

- Identification
- Proposal

Definition and planning

- Organisation
- Definition
- Planning

Implementation

- Implement
- Monitor
- Adjust

Completion

- Review
- Completion

Project Initiation Document
Project Definition Statement
Work Breakdown Structure
Risk Analysis
Monthly report
Project Review Document
Governance questions

- Does the Library’s planning address both short- and medium-term horizons?
- Does the Library’s plan articulate with the university’s strategy?
- Is an appropriate annual implementation plan in place?
- Is this supported by appropriate financial resources and robust project frameworks?
The UQ experience

Values
<table>
<thead>
<tr>
<th>Distinguishing Values</th>
</tr>
</thead>
<tbody>
<tr>
<td>Accountability</td>
</tr>
<tr>
<td>Accuracy</td>
</tr>
<tr>
<td>Achievement</td>
</tr>
<tr>
<td>Adapting to Change</td>
</tr>
<tr>
<td>Adventure</td>
</tr>
<tr>
<td>Autonomy</td>
</tr>
<tr>
<td>Being the Best</td>
</tr>
<tr>
<td>Being Different</td>
</tr>
<tr>
<td>Being an Expert</td>
</tr>
<tr>
<td>Being Precise</td>
</tr>
<tr>
<td>Belonging</td>
</tr>
<tr>
<td>Best Practice</td>
</tr>
<tr>
<td>Challenging Work</td>
</tr>
<tr>
<td>Changing the “World”</td>
</tr>
<tr>
<td>Cleverness</td>
</tr>
<tr>
<td>Coaching</td>
</tr>
<tr>
<td>Collegiality</td>
</tr>
<tr>
<td>Communication</td>
</tr>
<tr>
<td>Community</td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
<tr>
<td></td>
</tr>
</tbody>
</table>
Values (strategic planning)

• Adapting to change (6)
• Communication (6)
• Integrity/ethical beh. (6)
• Customer service focus (6)
• Innovation/creativity (5)
• Excellence (4)
• Teamwork/collab. (3)
• Involvement/participation (2)
Values (Liaison Librarians)

- Integrity/ethical beh. (8)
- Communication (7)
- Teamwork (6)
- Work-life balance (5)
- Customer service focus (3)
- Humour/fun (3)
- Physical/emotional health (3)
- Innovation (3)
- Adapting to change (2)
Consolidated

- Integrity/ethical beh. (14)
- Communication (13)
- Teamwork (9)
- Customer service focus (9)
- Innovation/creativity (8)
- Adapting to change (8)
- Work life balance (5)
- Excellence (4)
- Humour and fun (3)
- Physical and emotional health (3)
We are innovative, proactive and flexible in a changing environment.

We promote and practise open two way communication for the benefit of all and we respect the opinion of others.

We act with integrity and demonstrate fairness and accountability.

We are committed to excellence through reliable quality customer service, recognising diversity and treating all with dignity.

We maintain a healthy work/life balance and foster a collaborative working environment.
The UQ experience

Academic governance
The role of the Library Committee

• Representation
• How do we gain sufficiently senior membership?
• Strong communication channel
• Involvement in strategy formulation
Governance questions

• Has the Committee conducted a self-assessment of its performance?
• How does it fit into university governance?
• Is it expected to report regularly and actively?
• Are processes for refreshing membership effective?
• Are members trained?
• Are communications between the Library and committee members effective?
• Do members understand the Library’s management structure and systems?
• Do members provide independent review of risk strategies etc?
The UQ experience

Risk assessment
Risk management and the Library

• Identifying risk
• Risk management workshop
• Risk aversion
Governance questions

• Have risks been appropriately identified?
• Have realistic assessments of likelihood and impact been arrived at?
• Are appropriate controls in place?
• Does the university’s internal audit department work regularly with the Library?
• Are risk registers reviewed regularly by the governing committee?
<table>
<thead>
<tr>
<th>The UQ experience</th>
</tr>
</thead>
<tbody>
<tr>
<td>Capital and space utilisation</td>
</tr>
</tbody>
</table>
Buildings and space

- Conventional library activities in decline
- Kilometres of under-used print collections
- Huge demand for flexible learning spaces
- Warehouse developments
- Last copy retention strategy
Governance questions

- Do our facilities meet student expectations?
- Do they contribute to attracting high quality staff?
- Are we investing annually to maintain and improve facilities?
- Are high-cost space and facilities adding value to the university?
- Are we duplicating facilities on campus unnecessarily?
The UQ experience

Workforce planning
Workforce planning

• Study of library staff
• 20 percent of HEW 5+ will retire in next 7 years
• Recruitment crisis?
• Skills audit and plans
• Reviewing staff duties
Governance questions

• Does the university’s HR strategy support Library needs?
• Do we have a succession planning framework?
• Are we identifying, supporting and developing our star performers?
• Do we have effective equality and diversity policies?
• Are we investing sufficiently in staff development?
• Do we have effective staff review procedures?