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Top Management Teams in Academic/Research Libraries: Their Jobs, Their
Responsibilities, Their Futures

A dissertation submitted in partial satisfaction of the
requirements for the degree Doctor of Philosophy
in Information Studies

by

Mark Strother Roosa

2015

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ABSTRACT OF THE DISSERTATION

Top Management Teams in Academic/Research Libraries: Their Jobs; Their
Responsibilities; Their Futures

by

Mark Strother Roosa

Doctor of Philosophy in Information Studies

University of California, Los Angeles, 2015

Professor Beverly P. Lynch, Chair

This dissertation examines the extent to which chief executive officers (CEOs) in academic and research libraries are involving their top management team (TMT) members in strategic decision making that affects organizational performance, and, the extent to which this involvement is preparing top managers to assume leadership positions as CEOs. This is a critically important question because the current leadership in libraries is ageing out and unless knowledge, skill and ability transfer is taking place within today's academic and research library environment, the next generation of leaders will be at risk of losing the opportunity to incorporate the cumulative knowledge and experience of their predecessors into their leadership portfolios.

Strategic decision-making is one of the most important aspects of a top executive's job. To better understand the dynamics taking place within top management teams that influence strategic decision-making, and top managers' roles in strategic decision making processes in libraries, 34 top managers and their CEOs from academic libraries were interviewed on the dynamics surrounding strategic decision making in their organizations. Semi-structured interviews were carried out with participants. The results shed considerable light on the richly nuanced relationships that top managers have with one another and with the CEO and how these relations impact strategic decision-making. The study also revealed demographic characteristics of top managers that are related to strategic decision making within the TMT. Key strategic decisions that TMT members were involved in and their role in the decisions were examined in relation to the strategic issues that CEOs pointed to as important. A comparison of these citations revealed a series of variables that influenced co-citation of strategic issues by both CEOs and TMT members.

The dissertation of Mark Strother Roosa is approved.

Johanna Drucker

Barbara Lawrence

Ellen Pearlstein

Beverly P. Lynch, Committee Chair

University of California, Los Angeles

2015

This work is dedicated to my family who patiently provided sustained support and encouragement.

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Education

- 1987 Columbia University, School of Library Service, Conservation
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CHAPTER 1: INTRODUCTION

Top Management Teams in Academic/Research Libraries: Their Jobs; Their Responsibilities; Their Futures

“The burning cry in all organizations is for “good leadership” but we have learned that beyond a threshold level of adequacy it is extremely difficult to know what good leadership is. The hundreds of scientific studies of this phenomenon come to one general conclusion: Leadership is highly variable or “contingent” upon a large variety of important variables such as nature of task, size of the group, length of time the group has existed, type of personnel within the group and their relationships with each other, and the amount of pressure the group is under. It does not seem likely that we’ll be able to devise a way to select the best leader for a particular situation. Even if we could, that situation would probably change in a short time and thus would require a somewhat different type of leader.” (Perrow, Charles. "The short and glorious history of organizational theory. " *Organizational Dynamics* 2.1 (1973): 3-15. (p. 13)

Background and Statement of the Problem

Libraries within the academy today are undergoing tremendous change. Forces within and beyond the university are challenging libraries’ roles as time-honored citadels of knowledge. The future of libraries as collaborators with academic partners and as centers for scholarly inquiry rests in no small part on the skills, knowledge and abilities that the next generation of creative individuals will bring to guide academic libraries through these tumultuous times. Will library organizations produce these leaders? If so, how will they accomplish this? Moreover, how and to what extent are today’s library executives ‘bringing along’ top managers to become the next generation of academic library leaders? Are today’s executives preparing astute managers to assume executive leadership positions in tomorrow’s academic

library enterprises? These questions are critically important for several reasons. First, the current crop of academic/research library executives is 'ageing out'. Who will replace them? Second, libraries are undergoing a fundamental shift in the role they play within the academy. The value proposition libraries have traditionally brought to academic work is shifting from that of being a repository of print knowledge to one of mediating access to digital resources. Third, competition from the private sector is growing and growing fast. With the rise of powerful information utilities and the burgeoning matrix of peripheral tools that assist individuals in managing, manipulating, repurposing and personalizing digital content, the traditional role of the library as chief information purveyor is being disrupted. Leaders are needed to guide libraries into this uncertain future.

Purpose of the Study and Research Question

To help understand and address these challenges, this research examines how the dynamics within top management teams in academic research library settings influences strategic decision-making, organizational performance and leadership development, and how this work supports the thesis of this research project, which is that library executives do in fact involve their top management teams in strategic decisions to enhance organizational performance, and this involvement serves as 'on-the-job' training to groom top management team members for future leadership positions as library directors.

The research question, 'To what extent are chief executive officers (CEOs) in academic and research libraries involving their top management team (TMT) members in strategic issues that affect organizational performance, and, the extent to which this involvement, when present, is preparing top managers to assume leadership positions as CEOs?' is one that has only been occasionally addressed in the library literature. Hernon and Rossiter (2007) provide a glimpse into the importance of strategic decision-making in their interviews with key library directors. In their work, Vice Chancellor for Information Technology and Dean of Libraries at Washington University, Shirley K. Baker cites, "vision, courage, and making difficult decisions..." as key aspects of effective executive leadership. (p.79). Equally important to the success of the academic library is alignment of the library's strategic goals with those of the university.

The importance of involving top managers in strategic work and aligning that work with university priorities is well-expressed by Steven Bell, Director of the Library at Philadelphia University, who observes, "As director, I must make the final decision on what initiatives we take and what resources we put into them. But that does not happen in a vacuum" (89). Terrence Mech, Director of the Library at Kings College, sums up the importance of top management team decision making, noting that, "There is a danger to having the director as the only library leader...all leaders need a 'reality check' on occasion that helps them stay in tune with themselves, the library, the institution, and various constituencies. Over time, perspectives need to be recalibrated because of fatigue, exuberance, or the blind pursuit of a vision"

(p.95). Mech suggests that, for a library to be successful, “it means developing individuals who are comfortable with ambiguity and who ask the big questions, like why, and how, and what if” (p. 95). He concludes that top leaders must understand that their views do make a difference in shaping the library’s strategic direction, and ‘its success and renewal.’ Sarah Pritchard, Dean of Libraries at Northwestern, articulates the dynamic role of leadership at the top of the organization: “The director is the lightning rod, the lead advocate, the one that will take the risks and make the hard decisions...however, we must also be growing the next wave of leaders who can help us and take our places, either at our present institutions or elsewhere. The library is too complex to have only one person who understands it; so I place a lot of emphasis on professional development of AULs (top management team members) and department heads and in getting them involved in campus wide and consortial work” (p. 107). Hernon (2007), sums up the views of those interviewed with the following statement: “Critical to the future of academic librarianship is the hiring of librarians who can fit comfortably into this [complex and changing] environment and who do not view work within a narrow context.” Leaders of tomorrow’s academic libraries must “concentrate on strategic directions, the larger environment, and how the library helps the institution accomplish its mission” (p. 108). Thus, the focus of this research is to examine the extent to which this training is taking place within top management teams in today’s academic libraries.

Given the importance of this topic for the future of academic libraries and librarianship, an ethnographic research method was selected as the best means of gathering rich data on the interactions within top management teams related to this issue. Semi-structured interviews were carried-out by the author to gather data from 34 participants who kindly agreed to be interviewed. The participants, who were selected from 6 research libraries, were library directors and their top management teams. The operationalization of the research thesis, suggested considerable emphasis be placed on strategic decision-making as a critically important aspect of leadership development and how this takes place within the top management team. Thus, considerable data flows from this question. In particular, emphasis is placed on examining:

- a) The extent to which there is agreement between top managers and their CEOs on issues each group views as strategically important for the organization,
- b) The promotion of managers who cite issues in common with their CEOs, and
- c) Co-citation of strategic issues by top managers who have tenures in common.

These aspects of strategic decision-making in the top management team shed light on the extent to which top managers and CEOs see 'eye to eye' on issues of strategic importance. A shared vision among TMT members and CEOs on issues viewed as strategically important may be an indicator that top managers are being exposed to

and involved in the types of issues that prepares them to assume executive leadership positions in academic libraries.

This research also considers important demographic data regarding the top management teams studied (e.g., their size, composition, frequency with which they meet, and other pertinent group and individual characteristics). Findings indicate that these demographic variables have important influences on strategic decision making within the TMT.

Rationale and Significance

The rationale for this study is that there is an explicit need, articulated in the library literature, for libraries to train tomorrow's library leaders (Hernon, 2002, 2007).

The chief reasons cited for this are: 1) a significant percentage of library CEOs will be retiring soon¹, and 2) libraries, librarians, and library users needs, expectations, and perceptions are changing, and leaders are needed who understand these changes and can respond to them.

The significance of this research is that it focuses on the individuals within top management teams who are poised to assume executive leadership positions in the future and to understand if they are receiving the training needed to effectively step into tomorrow's academic library environment and provide the leadership

¹ A topic of perpetual concern among library directors and university administrators is succession planning (Bridgland, 1999; Curran, 2003; McCarthy, 2005, Galbraith, 2012). Within the community of academic library directors (library CEOs) specifically, concern is raised every generation or so over who will succeed them and the type of knowledge, skill and ability they will need to possess. Indeed, within the literature on organizational management there is much written on the value of mentoring talented managers to assume leadership roles. Succession planning programs are promoted as ways to maintain business continuity in the face of demographic changes, including retirements of top managers.

necessary to meet the challenges up ahead. It is the purpose of this study to provide insight into this question while also identifying areas for future research.

Terminology

Certain terms and abbreviations are used in this research project that may be unfamiliar to the reader. A brief list of these terms is provided:

TMT – Top Management Team: The group that is composed of the library director and those who report to the library director.

Top managers – Refers to those individuals who are considered members of the Top Management Team, minus the director of the library.

CEO – Chief Executive Officer – In this study the CEO is the head of the library (e.g., the dean of libraries, etc.)

Organization of the Dissertation

This dissertation is organized into chapters and each chapter contains a series of topics that are addressed in detail. A brief introduction precedes each chapter. To assist the reader in navigating the contents of this study, a brief synopsis of what will be covered is offered below:

Chapter 1: Introduction

Chapter 2: Literature Review

This dissertation draws upon three bodies of scholarly work to address the research question. These streams are: strategic decision-making, organizational theory, and the library leadership literature. Select works from these bodies of literature are discussed fully within the literature review section below and subsequently referred to throughout the dissertation.

Chapter 3: Design of the Study/Methodology

This section presents the design of the study, its participants, key research questions, and the research method used to collect and analyze data. An ethnographic approach to data gathering was used for this study in which 34 top managers and their CEOs from six academic/research libraries were interviewed on strategic decisions made in their libraries during the past three years. A series of follow up questions were asked of participants for each of the strategic issues identified. These included, for example, how the issue came to their attention, their role in the decision, their degree of satisfaction with the decision outcome, the degree of influence they felt they had on the outcome, and identification of others who were involved and their perceived roles.

Chapter 4: Findings

This section contains responses to two sets of questions asked of participants. (See Appendix 1, Interview Schedule). The first set of responses pertains to the library organization, individuals who on the library's organization chart are considered to

be on the top management team (TMT), the frequency of meetings of the TMT, and other demographic characteristics of the TMT. A second set of responses pertains specifically to strategic decision-making within the TMT. The strategic issues identified by participants are presented in a series of tables and common themes identified. Co-citation of strategic issues by top managers is specifically noted and suggested as an indicator of cognitive alignment within the top management team on issues of strategic importance. Demographic data are also presented with brief commentary.

Chapter 5: Discussion

This chapter considers findings drawn from the data gathered in Chapter 4 and in particular how these data address the central thesis of this research that CEOs are bringing along top managers to assume positions of leadership through participation in strategic decision-making in the library. An introduction to organizational types is followed by a discussion of strategic decisions reported by TMT members. A discussion of strategic decision-making follows in which some background and commentary is first offered on the emergence of business concepts, such as strategic planning, and their application in academic settings. This backdrop provides a context for several examples drawn from this study that place strategic decision-making within the context of the library. A section follows in which aspects of the decision making process are discussed, such as 'influence' 'satisfaction' and 'co-citation' of strategic issues by one or more members of the TMT and the CEO. The discussion next turns to measures of success and metrics used by top managers

and CEOs. A brief discussion of aspects of the TMT such as identity, interactions, team building strategies and composition, are next offered to provide some perspective of the cultural context in which top managers operate.

Chapter 6: Conclusion

The final chapter of the dissertation offers further commentary on how the findings of this research provides insight into the research question and how these might contribute to the field of library leadership. Limits of the study are identified followed by some reflections on new areas of inquiry that are opened up by this study.

CHAPTER 2: LITERATURE REVIEW

Introduction

This research draws on several important streams of literature to address the research question of this study, which is:

To what extent are chief executive officers (CEOs) in academic and research libraries involving their top management team (TMT) members in strategic issues that affect organizational performance, and, the extent to which this involvement, when present, is preparing top managers to assume leadership positions as CEOs?

Since *strategic decision-making* is a core aspect of a top manager's work, some time is devoted to examining the literature pertaining to this topic. While much of this

literature is drawn from scholars who study decision-making in a variety of public and private settings, corporate examples within bureaucratic organizations predominate this stream of literature. Of particular relevance to this study on library leadership is the literature that examines strategic decision-making within top management teams, and especially the interactions between CEOs and their top managers. This perspective, known as upper echelon theory, is particularly relevant for this study as academic libraries are increasingly engaged in group deliberation and decision-making. Upper echelon theory provides a useful frame for examining and understanding the nuanced interactions that take place between and among top managers and how these interactions impact decision-making. It is especially useful in understanding ways in which CEOs execute strategic decisions based on the often limited or incomplete information they have available to them.

Additionally, within the context of the literature on strategic decision-making, particular sub topics (e.g., the particular roles of CEOs in top management teams, the effects of top management team and CEO tenure on decision-making and organizational performance, the effects of diversity within the top management team on performance outcomes, and conflict and conflict management within the top management team) are examined. These perspectives inform this study by identifying variables that influence interactions between top managers that ultimately affect strategic decision-making.

Closely connected to scholarly work in the field of strategic decision-making is the literature on *organizational theory*. This field is quite complex, and much of the literature is not directly relevant to this study. There is, however, a small but significant segment of this literature that pertains to organizational demography (the study of the human behavior within organizations) that is directly relevant to this research. It is important because this study is about the individuals within organizations who make up the top management team. This necessarily requires looking at demographic issues such as age, tenure, and heterogeneity but also at a top manager's promotion history, agreement within the top management team on issues of strategic performance, individual views on roles, success and influence. Within the organizational demography literature, there is research that links such demographic variables to performance outcomes. While it is not the purpose of this research to provide empirical data on these characteristics and their effect on performance outcomes, this research does hope to identify demographic characteristics (e.g., time in tenure, education level, age, gender) at play within the organizations that relate to decision-making within the top management team.

The literature on *library leadership* both informs this study and provides a situational base for this research and its findings. The core literature on library leadership falls into three groups. The first is characterized by studies that draw together the attributes library directors view as important for future leaders to possess (Hernon, 2001, 2002, 2003, 2006, 2007). The second includes key studies of those outside the library sphere, such as university provosts and presidents, and

their perceptions of the library (Lynch, 2001, 2007) and surveys of the knowledge skills and abilities drawn from job postings for library directors. A third stream of literature, which is just beginning to emerge from the field, comes from managerial leadership, which is “a process exercised by managers towards the members within the organization with the purpose of attaining the designated goals” (Babiak, in Hernon 2007, p.154). Hernon (2007) adds that managerial leadership might best be viewed as the temperament, character, personality, behaviors, knowledge, skills and abilities required to excel as a manager. It is the “dynamic relationship between leadership and management” (p. 255). This literature is tremendously useful in providing background on the aspects of library leadership that have been studied to date, and future directions the field is taking.

Strategic Decision Making

Strategic decision-making in organizations is defined by Mintzberg, et. al. (1976) as being “important in terms of the actions taken, the resources committed, or the precedents set” (p. 246). Eisenhardt and Zbaracki (1992) note that strategic decisions are “those infrequent decisions made by top leaders of an organization that critically affect organizational health and survival” (p. 17). Strategic decision-making within organizations is influenced by a variety of factors that range from the internal and external environment, to organizational structures, to the demographic characteristics of individuals within the organization. The effectiveness of decision making is also variously viewed through, for example, the lens of complexity (Stacy, 1995) who argues that “organizations are systems in which long term outcomes are

the result of the entire history of an organization, not a single action or decision” (Mador, p.3) or from the perspective posited by Eisenhardt (1997) that “improvisation is a relevant metaphor to describe strategic management” (ibid. p.3). The various characteristics that define successful strategic decision making include measures of ‘comprehensiveness’ or ‘the extent to which strategic options have been sought and evaluated’ and ‘extensiveness’ which “measures the extent to which the process considers long-term opportunities and threats in the environment” (ibid. p.4).

While considerable research has focused on the strategic decision making aspects of CEOs (Cyert and March, 1963; Mintzberg, 1976; Kotter, 1982) Hambrick and Mason (1984) argued in their paper on upper echelon theory that the characteristics and behavior of top management team (TMT) members affects organizational strategy and performance. Challenging the view that organizations are ‘swept along’ by inertia (Hall, 1977), the upper echelon theory, which is drawn from the Carnegie School whose theorists argue that “complex decisions are largely the outcome of behavioral factors rather than a mechanical quest for economic optimization” (Hambrick and Mason, 1984, p. 194), upper echelon theory argues that organizational outcomes are ‘partially predicted by observable managerial background characteristics.’ Examples of these include age, tenure in the organization, functional background, education, socio-economic roots, and financial position. Not explicitly included in the upper echelon theory are psychological processes (Lawrence, 1991) that identify interactions ‘between managers, systems

and the environment' that affect strategic decision-making. Hambrick and Mason's theory generated a list of propositions to 'stimulate empirical inquiry' into upper echelons within organizations which are frequently cited and critiqued. For the purposes of this study on top management teams in libraries, tenure in the organization is examined as a variable affecting strategic decision-making.

Strategic Decision-Making: Upper Echelon Theory

Upper echelon theory, as described by Hambrick and Mason, "attributes major influence to firms' leaders' in crafting organizational strategy (Finkelstein, Hambrick, 1990, p. 485). It claims that: 1) executives act on the basis of their personalized interpretations of the strategic situations they face, and 2) these personalized constructs are a function of the executives' experience, values, and personalities. The theory is based on the concept of 'bounded rationality' that, "informationally-complex, uncertain situations are not objectively knowable but, rather are merely interpretable" (Hambrick, 2007, p.334).

Upper Echelon Theory also examines the attributes and the demographic characteristics of top management teams, and the collective effects of team members on strategy and organizational performance. Hambrick (2007) notes "Leadership of a complex organization is a shared activity, and the collective cognitions, capabilities, and interactions of the entire top management team enter into strategic behaviors" (p. 334). It is this dominant coalition of the CEO and top managers that collectively shapes organizational outcomes. A variety of

demographic factors influence behavior within the coalition. For example, the influence of top management team heterogeneity on organizational performance (Hambrick, Cho, Chen, 1996), the influence of external ties of top management team performance (Geletkanycz, Hambrick, 1997), and the effects of diversity within top management teams on organizational performance (Simons, Pelled, Smith, 1999; Nielsen and Nielsen, 2013). Moderating factors, such as managerial discretion and executive job demands (Finkelstein, Hambrick, 1990; Hambrick, 2007), the role of uncertainty (Mason, Frederickson, 2001), the political skills of the CEO (Ahearn, Ferris, Hochwarter, Douglas, Ammeter, 2004), behavioral integration of top management teams (Raes, Bruch, DeJong, 2012), and the interface of top management teams and middle managers (Raes, Heijltjes, Glunk, Roe, 2011) serve to further illustrate the operational aspects that define the upper echelon theoretical model. While the noted research as a whole provides fascinating insight into some of the dynamics operative within the top management team, Hambrick's work on the influence of top management team heterogeneity on performance (1996) is particularly relevant for this study as specifically related to citation and co-citation of strategic issues by top managers. (The influence of heterogeneity on decision-making will be more fully discussed in the chapter on findings). Diversity within the top management team, and particularly the work of Simons, Pelled, Smith, 1999; Nielsen and Nielsen, 2013) is also of central importance to this study which examines the effects of time in tenure, education and gender as demographic variables that contribute to a top management teams diversity which in turn influences strategic decision-making and organizational performance.

Strategic Decision-Making: Within The Top Management Team

An overview of the extensive literature pertaining to decision-making within the TMT is mapped-out by Clark and Collins (2002) in their article that tests Eisenhardt's theory of strategic decision making in high-velocity environments (Eisenhardt, 1989). The authors cite a stream of literature that begins in 1984 focused on demographic characteristics identified by Hambrick and Mason, and their associated decision concepts. Top management team demographic characteristics addressed in the literature include, age (Taylor, 1975), education (Dolinger, 1984), job tenure heterogeneity (Wagner, Pfeffer and O'Reilly, 1984), tenure (Goodstein and O'Reilly, 1988), past joint work experience (Zenger and Lawrence, 1989) TMT size (Bantel and Finkelstein, 1995; Haleblian and Finkelstein, 1991; Smith et. al, 1994; Amason and Sapienza, 1997) TMT age (Hitt and Tyler, 1991), heterogeneity (Jackson, et. al., 1991; Wiersema and Bantel, 1992; Smith, et. al, 1994; Jackson, May, and Whitney, 1995; Hambrick, Cho and Chen, 1996; Knight et. al, 1999), education (Bantel, 1993; Wally and Baum, 1994), Hambrick, Cho and Chen, 1996); cognitive diversity (Miller, Burke and Glick, 1998); and CEO organizational tenure (Papadakis, Lioukas and Chambers, 1999).

Strategic Decision-Making: CEOs in Top Management Teams

Literature regarding the characteristics of CEOs as related to top management team interactions and strategic decision making include, the role of external ties of top executives (Geletkanycz and Hambrick, 1997) in which executives' boundary spanning relations inside and outside of their organizations are examined. They found that intra-industry ties are positively related to conformity and that extra-industry ties are associated with 'the adoption of deviant strategies, and that the alignment with external ties that align with the informational requirements of the firm's strategy enhances organizational performance" (p. 654). This work is particularly germane to this research in that library directors are devoting increasing amounts of time and energy to connecting with stakeholders outside of the library to advocate for resources and to build partnerships and collaborations. This outward facing work influences strategic decision-making within the top management team.

Hambrick (1991) proposes a model of CEO tenure that includes stages, or seasons, in which a CEO: 1. Responds to a mandate, 2. Experiments, 3. Selects an enduring theme, 4. Consolidates resources around the enduring theme (Convergence), and 5. Experiences dysfunction. During this process, a CEO develops and deploys actions drawn from his/her paradigm, which is composed of his/her repertoire (skills) and schema (pre-existing knowledge). The authors suggest that executive discretion is a moderating variable in this model: "the greater the CEOs discretion, the greater the manifestations of the seasons." This theoretical construct is especially relevant to studying the dynamics of CEOs and their leadership teams. Library directors and

deans tend to enjoy long tenures. Hernon (2007) notes that “librarians are, as a group substantially older than those in comparable professions, and they are aging at a much faster rate” (p. 2). Wilder (in Hernon, 2007) writes “retirement levels are already high, and will grow much higher in the near future...” (p. 2).

The political skills of CEOs, as factors affecting team performance, are examined by KK Ahearn (2004) and Burt and Ronchi, (2007). These studies examine how organizational outcomes and performance are affected when CEOs seek to build ‘bonding’ and ‘bridging’ social capital (Putnam, 2001) The 2007 study revealed that CEOs who actively participate in programs that promote social capital are rewarded (through promotion and recognition) more often than CEOs who do not participate in social outreach.

Strategic Decision-Making: The Effect of Tenure

Research into the dynamics operative within top management teams that affect organizational performance include, work by Finkelstein and Hambrick (1990) that uses an upper echelon framework ‘to study the effect of TMT tenure and managerial discretion.’ They found that long-tenured TMTs follow conservative paths that conform to industry norms and this is tempered by managerial discretion. High levels of independent discretion tend to produce strong results that influence strategic decisions. This often-cited work argues that top management team tenure is positively associated with, a) strategic persistence, strategic conformity and b) performance conformity. Findings suggested that long tenures support low risk-

taking and the status quo and produce average results that align with industry averages. They also found that managerial discretion by the CEO served to moderate these variables. This study is of particular interest in the present research, in that while CEOs may involve top managers in strategic decision-making, they likely do this on a discretionary basis. The extent to which executive discretion moderates top management involvement, while not a central focus of this research, is, nevertheless a consideration that must be taken into account when looking at decision-making within the context of the top management team.

Wiersema and Bantel (1992) examine the relationship between the demography of top management teams and corporate change. The authors identified key demographic characteristics in top management teams that are conducive to change. They found that the organizations most likely to embrace change in strategy had TMTs that were characterized by: a) lower average age, b) shorter organizational tenure, c) higher team tenure, d) higher educational level, e) higher educational specialization heterogeneity, and f) higher academic training in the sciences than other teams. These findings applied to the academic library setting provide some useful insight into the performance outcomes one might expect to see as demographic variables (educational level, training, etc.) within the top management team vary. These effects are explored in Chapter 5: Discussion.

Smith et. al. (1994) examines the effect of TMT demography and process on organizational performance through the study of 53 high-tech firms. They explain

the demography model, in which team size, team tenure and team heterogeneity are associated with performance; the process model, in which team size, tenure and heterogeneity are considered with process variables, such as social integration, informal communication and communication frequency which together influence performance. The authors propose an intervening model, which posits “that team demography influences organizational performance entirely through team processes...” (p.420). In other words, demographic characteristics such as team size, tenure and heterogeneity each play out through social processes (e.g., social integration, informal communication, communication frequency) and this interplay affects performance. This study provides insight into top management team demography as an aspect to consider within the top management teams examined in this study. Of particular interest are their findings on top management team size and heterogeneity, both variables that are examined in some detail in Chapter 5: Discussion.

Strategic Decision-Making: Diversity Within the TMT

Hambrick, Cho and Chen (1996) examine the effect of TMT heterogeneity on firms' competitive moves by surveying 32 U.S. airlines over eight years. They found that the teams that were diverse with respect to educational backgrounds and education and company tenure showed a strong propensity for action. These findings agree with those by Wiersma and Bantel mentioned above, which find that “diversity enhances the breadth of perspective, cognitive resources and over-all problem solving capacity of the group” (p. 662). An equal number of researchers, however,

have found negative associations with TMT heterogeneity. For example, O'Reilly and Flatt (1989) showed that company innovation was negatively related to team heterogeneity in firm tenure in a wide cross section of firms. Wagner, Pfeffer and O'Reilly similarly found that "heterogeneity in firm tenure was associated with higher turnover in top management teams, and, the more distant an individual executive was from the average of the others in the group the more likely he or she was to depart" (p. 663). In their 1996 work, Hambrick, Cho and Chen view competitive actions as creative moves that strategically position an organization to compete effectively. They conclude that heterogeneity within the TMT promotes competitive positioning.

Strategic Decision-Making: Conflict and Conflict-Management Within the TMT

Reflecting on the attributes that top management team members must possess, Terrence Mech, (Director of the Library, Kings College) observes, they must "be confident enough to raise issues and directors must be able to listen when personnel tell you things you would rather not hear" (in Hernon, 2007, p.95). In this observation Mech well-states the value of constructive conflict within the top management team. Eisenhardt et. al. (1997) further describes the important role of conflict within top management teams, which in their view leads to "the consideration of more alternatives, a better understanding of the choices, and overall, significantly more effective decision making" (p. 43). As an antidote to 'groupthink' that results in poor organizational performance, conflict provides 'a

more inclusive range of information, a deeper understanding of the issues, and a richer set of possible solutions.’ Her research of 12 top management teams in Silicon Valley found varying degrees of conflict within top management teams and concludes that heterogeneity encourages conflict but that the opposite of conflict “ is usually not agreement, but rather apathy and disengagement” (p. 49). The authors concluded “conflict is a dynamic process and that it unfolds as executives gain a deeper grasp of their business and their preferences for action through constant immersion in alternative viewpoints” (p. 60).

Reflective of the development of perhaps a more nuanced and broader definition of diversity, one that reflects both demographic characteristics and social processes, Simons, Pelled and Smith (1999) provide insight into debate and decision comprehensiveness within a diverse top management team setting They hypothesize that 1. “debate moderates the impact of TMT diversity, increasing the tendency for diversity to enhance decision comprehensiveness and performance, and 2) that decision comprehensiveness will mediate the interactive effects of diversity and debate on company performance. “ (p. 664)

Adding to the discussion on task conflict with regard to top management team decision making, Simons and Peterson (2000) find that trust is a moderating variable between the co-appearance of cognitive conflict, positively associated with organizational dynamisms, and positive group decision making outcomes, and relationship conflict, or the perception of personal animosities and ‘incompatibility detrimental to decision quality and to affective commitment to the group’ (p. 103).

Thus, “if group members trust each other, they will be more likely to accept stated disagreements at face value and less likely to misinterpret task conflict behaviors by inferring hidden agendas or personal attack as the driving force behind the behavior.” (p. 104)

Mason Carpenter (2002) argues that a TMT’s strategic context and specifically the complexity of a firm’s strategy will likely moderate the effects of demographic characteristics viewed alone, including heterogeneity within the top management team. This work is especially important to this study in light of the growing emphasis being placed on strategic planning and strategic alignment with university goals and objectives taking place in libraries today. Nielsen and Nielsen (2013) also examine the relationship between top management team diversity and firm performance, finding that “national diversity is positively related to performance and this effect is stronger in 1) longer tenured teams, 2) highly internationalized firms, and 3) munificent environments”(p. 373). These findings provide a basis for understanding some of the possible impacts of diversification within top management teams in libraries.

Building on the notion of aligning top management characteristics and relationships around strategic issues, Kor and Mesko (2013) examine the TMT’s dynamic management capabilities (e.g., managerial human capital, social capital, and cognition) and how these characteristics ‘sculpt’ the management teams’ absorptive capacity’, which in turn shapes the TMT’s adaptive capacity” (p. 233). Dynamic

capabilities, the author notes, refer to the capacity of an organization to ‘purposefully extend, create or modify its resource base, enabling the firm to achieve evolutionary fitness through adaptation to and/or shaping of the external environment’ (233). The authors argue that dynamic management capabilities are closely linked to the firm’s dominant logic, or ‘the way in which managers conceptualize the business-be it in technologies, product development, distribution, advertising, or in human resource management’ (235). It is an “articulation of the fundamental strategic beliefs, assumptions and intentions of the CEO and senior management” (235) which “evolves to be an organizational level phenomena as a system of expectations, beliefs, and priorities that are imbedded in the firm’s routines, procedures and resource commitments” (236). The work of Kor and Mesko is quite useful in that academic libraries today are increasingly concerned with alignment with the mission, goals and dominant logic of the universities in which they reside.

Resilience, as an important top management team characteristic that affects performance, is examined by Carmeli, Friedman and Tishler (2013). They argue that the capacity of a top management team to rebound from adversity ‘strengthened and more resourceful’ is important for business continuity reasons. Their research further examines the extent to which connectivity between top management team members ‘facilitates a higher level of engagement in strategic decision comprehensiveness thus enhancing top management team resilience’ (p.149). They posit that connectivity in the form of ‘openness and generativity’

encourages social bonding, and trust, which results in organizational resilience, or “the ability to interpret unfamiliar situations; to devise new ways of confronting these events; and to mobilize people, resources and processes to transform these choices into reality” (p. 149). Resilience is indeed an attribute to bring into this research on top management teams, as libraries in this study each were affected by the economic downturn that began in 2008, and staffs and leadership in these libraries have displayed resilience to varying degrees in response to financial exigencies that have impacted staffing, programs, and services.

Organizational Theory

Select current work in the area of organizational behavior, particularly that which examines the changing nature of organizations and human behaviors within organizations is examined. This literature, including work that falls into the category of organizational demography (Wagner, Pfeffer, O’Reilly, III, 1984; Zenger and Lawrence, 1989; Lawrence, 1997; Gneezy, et. al, 2003) provides perspective on the variables at play within organizations that impact decision-making, performance and leadership development. The recent work of Pfeffer (2013), in particular, will be examined in some detail below to illustrate some of the persistent social values and behaviors that hold true over time in organizations of all types.

Cyert and March in their seminal work, *A Behavioral Theory of the Firm* (1963) describe the early development of organizational theory. The authors describe three distinct branches of the field: The *sociological* branch (typified by the work of

Weber, Durkheim, Pareto, and Michaels), centers on bureaucracies. It “emphasized the phenomena of division of labor and specialization as a broad social trend and the importance of large-scale organizations in utilizing specialized competencies” (p. 17). Bureaucracies which, according to Perrow (1986), reached their full form on a widespread basis only in the 20th century, are the basis for nearly all large, complex organizations in the U.S. today, including the libraries in this study which can be categorized as professional bureaucracies (Mintzberg, 1976). Some of the key variables examined in sociological-based organizational research include, “sub-goal differentiation and conflict, individual personality changes, and organizational life cycle” (Cyert and March, p.17).

The *social psychological* branch of organizational theory, according to Cyert and March, focused on efficiency, including productivity and speed studies, examined in an experimental context. Studies in this vein have included, “communication nets, simulated radar warning stations, and small problem-solving groups” (p. 17). Also included in this group are studies on ‘morale and productivity’, which also emphasize a criteria of efficiency.” (p. 17).

The *administrative* branch of organizational theory has traditionally dealt broadly with decision-making processes. It divides into two parts. The first views the organization as, “a clearing house through which transfer payments are arranged among participants (e.g., workers, investors, customers, etc.)” (p. 17). This theory focuses on how organizations survive and the methods they use to motivate

organizational participants. The second part concerns theory that seeks to explain *how* decisions are made within organizations, “with special emphasis upon the process of executive influence and the impact of organizational position on individual goals and perceptions” (p. 18). The literature most pertinent to this study of libraries and top management teams is drawn from the administrative branch of organizational theory.

Hierarchies

A brief review of key literature pertaining to hierarchies, the organizational model most closely associated with libraries, provides a useful backdrop for understanding some basic principles associated with this type of organization, including how work is produced, and the behaviors that are commonly found within hierarchically-structured organizations.

Prigozhin (1980) traces the origins of hierarchies and their characteristics of subordination, dependence, and inequality, as stemming from post-socialist perspectives by Engels who stated [that] “the technical basis of any large producing unit, requires all-embracing unity in the form of centralization, and this means that questions will be resolved by authority” (p. 9). Marx, largely concurred with Lenin on the need for central command and control in organizations, writing, “Any directly social or joint labor...to some extent requires management to coordinate the individual jobs...the orchestra requires a conductor” (Marx and Engels, vol. 23, p.342; Prigozhin, 1980 p.10). Prigozhin’s views help provide one historical

perspective on the roots of 'command and control' management within bureaucratic organizations and the emergence of organizational aspects typically attributed to hierarchies, including "the centralization of power to enhance efficiency and productivity, a unilateral personal dependence of one person on another, and the subordination of the members of the organization to rules and order" (p. 12).

Leavitt (2003) writes that 'hardly anyone has a good thing to say about hierarchies,' yet, on a fundamental level, they seem to fulfill deep psychological needs we have for order and security (p. 1). He adds, "the intensity with which we struggle against hierarchies only serves to highlight their durability" (p. 2). Indeed, they have not only survived but were intricately tied to post-WW II management innovations, including the human relations movement, the analytic management movement (management by the numbers), and the communities of practice movement of the 1970s. Persistent as they may be, hierarchies are indeed deeply flawed, in that they promote authoritarianism, distrust, territoriality and fear. Leavitt argues, "Our ability to work effectively in hierarchies depends in large measure on how we deal with those dangers" (p. 3). Yet, they also give us 'identity' and add structure and regularity to our daily lives and substance to our social interactions within organizations. Leavitt concludes, "Hierarchical organizations seduce us with psychological rewards like feelings of power and status. What's more, multi-level hierarchies remain the best available mechanism for doing complex work. It is unrealistic to expect that we will do away with them in the foreseeable future. It

seems more sensible to accept the reality that hierarchies are here to stay and work hard to reduce their highly noxious byproducts, while making them more habitable for humans and more productive as well” (p. 7). The work on hierarchies provides a worthwhile frame of reference for studying decision-making within top management teams in academic libraries. While hierarchies have been the dominant organizational models in libraries of the past will this model persist in the future?

Changing Demographics in the Workplace

The influx of a new generation of workers into the workplace who bring new values, beliefs and behaviors has invited organizational scholar, Jeffrey Pfeffer (2013) to ask the question, “Have organizations and their employees fundamentally changed-and if so, have they done so in a way that obviates existing organizational theory?”

Libraries, like other organizations, have not been immune to the impact of new technologies and networks on the workplace. Social networking via Facebook, Twitter and related platforms, teleconferencing, virtual meetings, coupled with the emergence of “flatter” organizations, the rise of collaborative organizational models that involve group decision-making and shared governance, some argue, have created the need for organizational theorists to develop new theories about how organizations function.

Friedman (2006) for example argues that today’s organizations are fundamentally different from companies of the past in that they are “more global, more dynamic, and innovative, and less formal and hierarchical.” (Pfeffer, 2013, p. 269). This view

is drawn from the notion that organizations and management in organizations today has moved beyond those formative managerial experiments that began in the post WWII era with the human relations movement that advocated a people-focused approach to management. This movement and its emphasis on employee participation, teams and quality circles and which included methods such as sensitivity training, was followed by an era of analytical management or 'management by the numbers.' A third trend, management by small groups, or communities of practice which emerged in the 1980s is best exemplified by companies like Apple that employed growing numbers of younger employees who were, "fast, daring, ingenious, and totally task oriented." (Leavitt 2003, p.4) While these managerial fashions were often superimposed on hierarchical structures, their effect on today's organizations remains.

One artifact of these trends is the emergence of the so-called 'flat' organization in which work is carried out by teams who exhibit a high degree of collaboration to achieve shared goals and objectives. Pfeffer (2013) notes that with the changes in interpersonal dynamics resulting from today's flat, team-based work environments ---environments often inhabited by increasing numbers of Millennials--one would expect to see the emergence of new management theories, particularly pertaining to power and influence, aspects usually positively associated with hierarchies. Such changes in organizations (e.g., flat, global, egalitarian, etc.) coupled with a de-emphasis on the theories of power and influence, associated with organizational models of the past, could well impact the ways in which we think about top

management team behaviors today and particularly ways in which we think about orienting top management team members to assume positions of leadership in 21st century libraries and archives.

Yet, in spite of notions of the workplace becoming, kinder, flatter, and more egalitarian, certain human behaviors persist. The marginalization of women in the workplace (Carter and Silva, 2010), competitiveness (Gneezy, Niederle, and Rustichini, 2003) and the use of coercion (Offerman and Schrier, 1985) continue to be documented. Pfeffer (2007) characterizes these attributes as ‘fundamental and unchanging social and organizational dynamics of the workplace. He articulates six processes that in addition to being ‘both fundamental and apparently unchanging’ “profoundly affect people’s motivations and interactions in work environments.” (Pfeffer p. 271) These six attributes provide insight into human behavior within organizations and can possibly be useful in addressing the problem of the Black Box Theory (Lawrence, 1997) that seeks to describe demographic variables (e.g., psychological and social processes) not adequately defined or observable in congruence theory (Pfeffer, 1983) a central tenant within organizational demography.² Pfeffer’s attributes offer a useful backdrop for understanding some of the key characteristics that motivate individuals within organizations, including today’s academic and research libraries. The attributes include:

² Within organizational demography, a theory that involves replacing subjective concepts (attitudes, etc.) with demographic ones (age, tenure, etc.) the justification of which is, “the assumption of congruence between demographic predictors and subjective concepts.” (Lawrence, 1997 p.3)

Hierarchy – With the proliferation of personal computers, smart phones, tablets and other technologies that support mass personal communication, “social networking, and crowd sourcing has increased the tendency to see hierarchy as disappearing and being irrelevant...” (Pfeffer, 2013, p.272). Yet, Pfeffer argues that in spite of the emergence of “inexpensive computing that makes horizontal collaboration possible” hierarchies persist. He argues that they are ‘fundamental structural principles of all organizational systems’ be they social, technical or biological. Hierarchies make complexity possible, be it within social settings or within bio organisms. While Leavitt notes [that], “hardly anyone has a good thing to say about hierarchies” (Leavitt, 2003 p, 1) humans ironically find hierarchies both practical – in that they help foster productivity – and psychologically useful in that they “fulfill deep seated needs for order and security” (Pfeffer, p. 272) a finding confirmed in empirical studies by Tiedens, Unzueta and Young (2007). Pfeffer notes that hierarchies create important consequences for behavior. He notes that, “ if there are hierarchies of power and status, most individuals will prefer to be near the top” in part because financial rewards are higher near the top.

Perceptions of Competence – If hierarchies persist in organizations and individuals within those organizations are essentially competing for recognition and advancement, what then are some of the characteristics that will lead to success? While the behavioral characteristics of ‘warmth’ and competence are often positively associated with desirable attributes in the workplace, it turns out that just the opposite is true: warm people are considered to be less competent. (Cuddy,

2009) Powerful people, Pfeffer argues (2013 p. 273) “have the discretion to be angry because their power provides them with more latitude in their behavior. The co-occurrence of anger and power then leads to the heuristic association of power with anger-if powerful people get to be angry, people who display anger are assumed to be powerful.” Individuals within organizations are ‘highly attuned’ to tracking who will prevail, who has the ‘mental toughness’ to succeed. “Breaking rules, displaying anger, not being warm and nice is not necessarily behavior that we intuitively think of when we consider leadership.” (Pfeffer, 2013 p. 273).

The Self-Enhancement Motive – Closely connected to one’s survival within an organization is “the motivation to think favorably and positively about one’s self.” (Pfeffer, 2013, p. 274). This tendency to believe that one is ‘above average’ on attributes such as income and social status can within an organization lead to “a belief in the efficacy of one’s actions” on organizational performance. A result of this self-illusion within an organizational context is that it breeds confidence, which in turn can be contagious. The display of self-confidence can have negative consequences. For example, in studies that looked at gender equality in the workplace, Reuben, Rey-Biel, Sapienza and Zingales (2012) found that men’s over confidence “resulted in their being disproportionately selected [over women] for leadership roles.” (Pfeffer, 2013 p.274). Additionally, one’s belief in one’s ‘self-efficacy’ produces, ‘an orientation toward action’ that is positively associated with power. It seems that “illusions of control and the consequences of believing that everything that one touches is better” (Pfeffer et. al, 1998; Pfeffer, 2012 p. 274)

affects all generational cohorts, and is no less prevalent, Pfeffer notes, among younger generations: “if anything, their upbringing and the evidence on narcissism would suggest even stronger self-enhancement motives.” (Pfeffer, 2012 p, 274).

Us Versus Them and the Importance of Similarity-There is a strong tendency for individuals who think highly of themselves (see #3 above) to align with those in an organization who exhibit tendencies similar to their own. Similarity, it is argued, is perhaps the most important basis of interpersonal attraction (Byrne, 1971; Montoya and Horton, 2013). This ‘ego-centric bias’ manifests itself in various ways, such as through mimicry, ‘a give and take of words and gestures’ which can result in “immediate social bonding between strangers.” (Pfeffer, 275). A bias in favor of those who look, act or otherwise resemble themselves, “makes elimination of discrimination in organizational career processes both difficult and unlikely.” (Pfeffer, p 275). It also results in ‘homo-social reproduction’ that is the hiring, promotion and favorable review of those who exhibit similar characteristics in the workplace. By extension, those who display behaviors and views similar to those in power will likely enjoy career advancement success.

Basking in Reflected Glory and the Desire to Be With the Winners – The desire to think well of one’s self and to associate with successful organizations, groups, or individuals, is in Pfeffer’s view linked to a primordial desire ‘to have one’s genetic materials survive.’ (Pfeffer, 2013 p. 275). This innate human characteristic requires first that one first be able to, “discern and then associate oneself with the individuals

most likely to win in a fight for survival.” (p.275). Theorists posit that the drive to be close to success often outweighs everything, including working for a difficult and unpleasant boss, as long as that boss is viewed as successful. The closer one is drawn to powerful and successful individuals, the greater one is able to ‘bask in their glory’ through association, even if that association is weak. Pfeffer notes that, “once deciding to be close, many individuals will come to rationalize that decision by noting the many ways in which the powerful individual (or organization) is actually better than the public perception and in reality offers an attractive working environment and many social benefits.” (p. 276)

Hedonic Sense Making and Post Hoc Rationalizations – In his theory on cognitive dissonance, Festinger (1957) argued that people are motivated to ‘eliminate or reduce discrepant cognitions.’ Within organizations, a strong power and influence behavior is that which aims to, “reduce dissonance and therefore rationalize behavior.” (Pfeffer, p. 276). For example, in efforts to produce cognitive consistency, individuals will attribute numerous positive traits to success even if these traits had little to actually do with the success. In the realm of power and leadership, powerful individuals are presumed (because of their success) to possess many positive traits. (Pfeffer, p. 276) To avoid cognitive dissonance, individuals reevaluate the powerful in ways that create (or infer) positive traits even if such traits are not real. Pfeffer notes, “To avoid cognitive dissonance, individuals will also, make excuses for the powerful if dissonance-reducing attributions of positive qualities and behaviors are too difficult to construct.” (p.276) A manifestation of this is the masking or

attenuation of disturbing facts about a powerful leader in order to preserve cognitive consistency. This 'excuse-making' helps explain, why the powerful behave differently and in turn how their behavior affects those around them. (p.276)

Many of these characteristics (e.g., the desire for order, reward, recognition, etc.) are commonly associated with organizational hierarchies. While the common flaws of hierarchies, such as the promotion of authoritarianism, distrust, dishonesty, territoriality, and fear, are well known, in Leavitt's view (2003, 2005) hierarchies have demonstrated 'impressive adaptability' over time by providing structural stability to organizations of all types. The structural stability they provide, "delivers real practical and psychological value" (2003, p.2) by not only 'enslaving' workers but by fulfilling "our deep needs for order and security." (p.2)

Additionally, it is often stated that today's generation of young workers have career patterns that are fundamentally different from those of previous generations. In a study of Matures, Baby Boomers, Generation Xers and Millennials, Lyons, et. al. (2012) found there to be, "limited evidence to support the idea that careers are becoming less traditional with each successive generation. " (p. 351) The authors further note that, "despite a great deal more job mobility and organizational mobility in the younger generations, it appears that the upward linear path is still prevalent." (p. 351).

The upshot of these findings – the persistence of survival behaviors within organizations, the quest for personal recognition and individuals’ drive for upward mobility, coupled with the continued presence of hierarchies– suggest that paradigm shifts in terms of organizational theory or human behaviors have not yet occurred in today’s organizations, including libraries. The continued influence of demographic attributes, and the ways in which these variables affect top managers and in turn organizational performance, on the other hand, argues for more probing research into top management team dynamics and into the related issue of how top management teams members are developing the skills and knowledge through involvement in strategic decision-making to assume leadership positions in today’s academic and research libraries.

Library Leadership

Important research has been carried out since the late 1960s (Morrison, 1969; Mech and McCabe, 1998) to better understand some of the traits that the next generation of library leaders must possess. For example, in an effort to understand the ‘nature and content of current and emerging jobs in academic libraries’ Lynch & Smith (2001) in a content analysis of academic library job ads in *College and Research Libraries* noted that computer technologies, instructional skills, and oral and written communication skills were explicitly sought.

Hernon, Powell, and Young (2001) examine some of the core attributes of future academic library leaders and the types of institutions from which they might be

drawn. Through multiple data collection methods, the authors identify some of the core attributes that the current set (n=126) of Association of Research Libraries believe the next generation of library CEOs should possess. These managerial, leadership attributes included the ability to plan and carry out projects. Personnel skill attributes included the ability to interact and communicate well with others. General areas of knowledge were also identified, such as an understanding of scholarly communication, knowledge of financial management, and trends in higher education. (Hernon, Powell and Young, 37-39).

In a second study, Hernon, Powell & Young (2002) draw together views of ARL directors and their assistant directors to identify attributes that library leaders will need to possess in the next 10 years. Composite results of this study concluded that future leaders will need to possess vision, sound planning and management skills, and emotional intelligence with regard to interacting with others within and outside of the organization. Explicitly not mentioned in the study are leadership skills related to use of strategic thinking associated with the introduction, integration, and use of new technologies or communication networks to support scholarly work or advance learning. Subsequently, Hernon (2007) conducted a follow up study that surveyed a cohort of Generation X librarians on the attributes identified in the 2002 study mentioned above. He found that, “despite some real differences, it should be emphasized that nearly two thirds of the leadership attributes as articulated by Generation X librarians may be found on the lists generated by ARL and non-ARL library directors.” (2007 p.165).

Hernon (2007) points to two important journal volumes issued in 2001 and 2002 devoted to library leadership. The first was a 2001 volume of the *Journal of Library Administration*, which covered topics such as recruitment, information technology in the virtual library, financial management, diversity, women in leadership, evaluating leaders, and global leadership. The second journal issue devoted to library leadership was the spring issue of *Library Trends*, which covered topics as “leadership renewal, career paths to advancement, mentoring and job rotation” (p. 62). A follow-up volume of *Library Trends* devoted to library leadership appeared in 2004 that contained articles on organizational development, culture change within libraries, and training programs for leaders. Florence Mason and Louella Weatherbee, writing in this volume and in response to the changing demographics taking place in libraries, particular the ‘graying’ of the profession, concluded, “libraries will undoubtedly experience a loss of a large number library leaders, and libraries and library organizations must continue to expand leadership training if there is to be a new cohort of leaders ready to take over.” (Hernon, 2007)

But it is not just the promotion of skills and attributes that align with the current business practices found in libraries today that are necessary to assure the development of leaders. According to Maloney, Antelman, Arlitsch, and Butler (2010) in a survey of 177 emerging library leaders (70% of which were between the ages of 30-40) there is a perception among this group of a ‘significant gap between their current and preferred organizational cultures, and that their current

organizational cultures limit their effectiveness.” (p. 2) The study finds that “the preferred culture, as perceived by this population, is more flexible and externally oriented than the current culture, that leaders feel ‘limited’ in their effectiveness and impact by their libraries’ current organizational cultures, and the more internally focused and less flexible their libraries are the more ‘thwarted’ they feel. Finally, the study found that future leaders who are most frustrated are the most likely to leave the field.” (p.32)

Sharon Gray Weiner, in her literature review of the academic library leadership between 1998-2003, covers topics such as recruitment, roles and responsibilities of library directors, and characteristics and management style. She concluded, that “many aspects of leadership have not been addressed and that a comprehensive body of evidence –based research is needed.” (Weiner, p. 14). Hernon (2007) echoes this sentiment, observing, “ The leadership literature, except within LIS, has grown at a phenomenal rate since 2002...LIS needs to examine the same types of issues pursued in other leadership literatures.” (p. 66)

Both Hernon and Rossiter (2007) and Kreitz (2009) have studied emotional intelligence traits of both library directors and their top management teams. Kreitz’s work seeks to identify the traits shared by library directors and top management teams. Kreitz (2009) concludes, that “although some of the traits identified as most important build on an individual’s innate personal qualities, many researchers and practitioners agree that emotional intelligence traits can be acquired and

strengthened through formal coursework, workshops, and leadership institutes, mentoring, on-the-job coaching, analytical tools, and, finally, rigorous self-scrutiny and practice.” (p. 547) One aspect of this research is to determine the extent to which TMT members are developing these attributes on the job.

Seeking to better understand the views of external actors who often have a direct influence on library operations, including resource allocations, Lynch, et. al. (2007) interviewed the presidents and provosts of select universities and compared findings with an earlier study (Grimes, 1992-93). The research found that views of the library had changed significantly in the intervening years since the Grimes study was conducted. For example, the concept of the library as ‘the heart of the university’ was not as strongly embraced as it was in the earlier study, this due in some part to the ubiquity of electronic information technology and online sources. Additionally, respondents stated the increasing value they are placing on evidence that the library is contributing in a qualitative, measurable way to learning and research. Lynch notes, “Library operational costs, usage, and services are now being considered with an eye to measuring effectiveness. This finding may reflect both the current academic culture of assessment, economic challenges, and increases in demands on the library budget.” (2007, p. 224).

One of the questions closely connected to the dynamics operative within the top management teams focused on strategy and performance is to what extent in their day-to-day work are top management team members gaining the skills and

knowledge needed to assume leadership positions. Since 2000, between 10 and 20 library CEO vacancies have occurred each year, with college library directorships and directorships within masters' degree granting institutions occurring with increased frequency. Rossiter notes that the 'graying' of the profession will result in 25% of today's librarians being 65 years of age by 2009 and 58% will be 65 by 2019. Wilder (2000) reports that 91% of ARL directors were 50 years or older in 1998. As a result of these compelling statistics, directors have begun to discuss succession planning within their own organizations to address the looming leadership shortage. Directors have begun to reach out to library leadership programs to express this concern and encourage dialog around the skills and knowledge that upcoming leaders might need to possess as they move into leadership positions. Hernon and others have designed advanced degree programs aimed specifically at directors of academic and public libraries. Galbraith, Smith & Walker (2011) identify some specific ways in which ARL libraries are on a programmatic level addressing succession planning. Their findings show that there is, "a gap between the perceived importance of various principles of succession planning and how well the principles are practiced." (p. 221) The authors stress the need for libraries to include succession planning in their strategic planning, as an important step toward addressing the looming leadership shortage in academic libraries.

Surprisingly little research has focused on the dynamics operative within the top management teams in library organizations and the effects of these interactions on organizational performance and leadership development. In a series of interviews

with library directors, Herson (2007) and colleagues asked the question, "Is there a perception among library staff that the director is the sole leader of the library?" Is such a perception correct or incorrect? The responses were mixed but the conclusion was that the perception was generally incorrect, that top management team members participated to some extent in the leadership of the library. Lynch, commenting on the study notes, "these are perceptions, of course; what is needed are actual data." It is a goal of this research to provide insight into this question.

Questions regarding strategy as related to organizational performance within the top management team are important for succession planning in academic libraries, because knowledge, skills and experience acquired on the job--much of which is through involvement with strategic decision-making--provide essential training needed for leaders to move into directorships. Thus, a chief focus of this research will be on how the dynamics within this coalition in an academic research library setting, influence strategic decisions, organizational performance and leadership development and support the thesis of this research project, which is that library directors (CEOs) do involve their top management teams in strategic decisions to enhance organizational performance, and this involvement serves as 'on-the-job' training to prepare top management team members to assume positions as library directors.

Building upon the research mentioned above (Herson, Powell, Young) aimed at identifying some of the key characteristics and attributes that the next generation of

library directors must possess, this research examines the literature and methods found in Upper Echelon Theory, formulated most notably by Hambrick and Mason (1984) and Finkelstein (1990, 2009). In this regard the aim is to assess the impact that the top management team has on library outcomes. While the library profession has worried about the “graying” of the leadership and succession planning, it has not given adequate systematic attention or thought to the specific characteristics of members of the top management team, specifically the distribution of top management team attributes as related to organizational outcomes. Thus, some of these attributes will be considered.

The aforementioned work of Pfeffer (2013) offers one perspective into the ways in which the values and careers of younger generations may impact the behavior of top management teams and organizations. Additional factors that might affect organizational behavior, the relationship between the library executive and the top management team are found in Lyons’ empirical assessment of generational differences in basic human values (2005) and his examination of trends in career mobility among generational cohorts (2012)³. It may be that the field of library management and administration has not fully recognized the significance that these factors play in influencing top management team behavior, in relation to organizational outcomes and leadership development. Thus, the secondary purpose of this research is to provide insight into these issues.

³ In the 2012 study Lyons, et. al. find that, “younger generations change jobs and employers at a greater rate than previous generations and that they are more willing to accept non-upward career moves.” (p. 333)

To better understand the role top management teams play in shaping organizational performance through strategic decision-making, this research focuses on the characteristics of individual managers within the top management team. This line of inquiry is drawn from the supposition by Eisenhardt and Schoonhoven (1990) and Carpenter (2002) and most recently Nielsen (2013) and Raes (2013) who together claim that the demographic qualities of executives (either individuals or teams) are highly related to strategy and performance outcomes. Thus, team characteristics and team influence on strategy and performance outcomes offer a useful lens through which to examine management and leadership development within academic libraries. Each line of inquiry will help identify the salient attributes likely to be found in the next generation of library leaders. Finally, as Hernon (2007) observes, as there is no single work in the literature on library leadership, there is a need to examine *leaders themselves*, their effectiveness, nurturing, and renewal, and their interactions with followers and leaders.” (p. xiv) This research aims to substantively address this need by providing new insight into the dynamics of leadership operative within top management teams in academic and research libraries that shape organizational outcomes while developing the next generation of library leaders.

While the library leadership literature alone is tremendously helpful in understanding, from various internal and external perspectives, some of the key qualities the next generation of library leaders should possess, its value is enhanced considerably when complemented by the literature on strategic decision-making

and organizational theory. The multiple perspectives offered by these streams of literature provide for a richer context in which to examine decision-making in top management settings. Together the convergence of the scholarly work from these three traditions will render a more nuanced understanding the social, organizational and behavioral settings in which emergent leaders are developing the skills and acquiring the knowledge to assume executive leadership roles in libraries. It is hoped that findings from this study will open up new questions regarding the dynamic interactions that take place within top management teams, which contribute to the development of library leaders.

CHAPTER 3: DESIGN OF THE STUDY/METHODOLOGY

Introduction

The question ‘to what extent are chief executive officers (CEOs) in academic and research libraries involving their top management team (TMT) members in strategic issues that affect organizational performance, and, the extent to which this involvement, when present, is preparing top managers to assume leadership positions as CEOs?’ is not one that has been specifically addressed in the library literature. As such there is no body of data to consult, or published work that specifically addresses this question. Thus an ethnographic method was selected to gather as much rich data as possible on this topic. Rosenthal and Rosnow (1984) note that, “One’s choice of a given method of data collection or measurement will...

depend on the context in which it is to be used.” (p. 157) As this research probes areas not addressed in the mainstream library literature, it can best be viewed as exploratory. As such, there was a keen interest in gathering as much rich data from those who could offer perspective on the research questions as possible. A second reason for choosing this method is that the population from which data were to be gathered, “ have the language and experience to describe their own actions and reactions” to the issues central to this research (ibid. p. 179). The rationale for using semi- structured interviews (which involve a combination of closed-, and open-ended questions) is that this approach “provides an opportunity to establish a rapport with the subjects and to stimulate trust and cooperation” (ibid. p. 179). The establishment of trust and cooperation with participants was essential to the successful collection of data through interviews and helped produce a positive response to the follow-up questionnaire that was sent to participants after they were interviewed. A variable that likely influenced subjects’ responses – hopefully in a favorable way – was that the interviewer was a member of the professional group being interviewed and this was made known to subjects prior to the interviews taking place. This fact may have served as an ‘icebreaker’ with participants and contributed in some small measure to the establishment of trust and cooperation.

The ethnographic method used for this research is drawn from social anthropology. Clifford Gertz (1973) describes open-ended interviews as capable of creating a ‘thick description’ of phenomena. On the other end of the spectrum are interviews

that are tightly structured around specific questions, and which may be viewed as more survey-like in the results they produce. This study attempts to find a middle ground between the two extremes. It achieves this through a semi-structured approach in which specific questions (and follow up questions) are asked of participants and responses noted. In this study some open ended questions were asked, such as, 'What strategic issues do you see on the horizon that will affect your library?' Closed-ended questions were also asked. For example, participants were asked to rank their level of satisfaction with the outcome of a strategic decision on a scale of 1-5 with 1 being 'not satisfied' and 5 being 'very satisfied.' The combination of open-, and closed- ended questions produced rich results of both a qualitative and quantitative nature. These results are presented below in Chapter 4: Findings.

Interviews were carried-out in private with 34 participants who kindly agreed to be interviewed. The participants, who were selected from 6 research libraries, were composed of library directors and their top management teams. The operationalization of the research thesis, suggested a strong emphasis be placed on strategic-decision making and how this takes place within the top management team. Thus, considerable data flows from this question. Demographic data pertaining to individual top management team members is also carefully considered to assess the role age, time in tenure, and promotion history plays in decision-making.

Project Design

Two sets of questions guide this research. The first set relates to the composition and demographics of the top management team (TMT).

Examples of questions related to composition and demographics, include, for example:

- Who comprises the TMT?
- What are the job titles of TMT members?
- How frequently does the TMT meet and who participates?
- What are some of the key demographic characteristics of the TMT members (e.g., time in tenure, time in the library, time in the profession, gender, terminal degree, gender, mentorship experiences, and promotion history)?

The second set of questions relates to decision-making within the context of the top management team. Examples of questions related to decision-making, include, for example:

- What are two strategic decisions the library has addressed in the past three years?
- What roles did TMT members play in these strategic decisions?
- Does the TMT function as a group in making strategic decisions? Does this vary depending upon the decision?
- What is the role of the CEO in influencing TMT decisions?

-What role does the person to whom the CEO reports play in determining strategic direction?

These questions and variations thereof were asked of subjects (n=34) in a controlled interview setting by the principal investigator (P.I.). The responses were audio recorded with permission.

Data analysis of interviews involved coding, compiling and tabulating responses to

- 1) Questions related to *composition and demographics* of the TMT (e.g., Who comprises the TMT?, What are the job titles of the TMT Members?, How Frequently does the TMT meet?, etc.).

- 2) Questions related to *strategic decision-making* within the TMT (e.g., Two strategic decisions the library has made in the past three years, specific roles of TMT members in those decisions, perception of decision outcome, etc.).

Representation of demographic data and strategic decision-making data together revealed key findings (e.g., the presence of co-citation of a strategic issue by a TMT member and the CEO in relation to whether the TMT member had been hired or promoted by that CEO, etc.) that are discussed below in the Chapters 4 (Findings) and 5 (Discussion).

Methodology

A socio-ethnographic research method,⁴ the semi-structured interview was used as the primary means of data collection for this project. The processes associated with this approach involved, data collection and documentation of responses, organization of the data, connecting various groups of data to understanding how these related to the research question(s), and representing data in various ways to present findings. To collect data, the Principal Investigator (P.I.) conducted semi-structured interviews (of approximately one hour in length) with 34 participants in six (6) academic /research university library settings. Three of the participating institutions are public and three are private. Written consent to participate was granted by all 34 participants. The interviews were audio recorded with permission and followed-up with a brief mailed questionnaire sent to participants. UCLA Institutional Review Board approval for the research was successfully obtained prior to starting the project. Interview schedules, recitals, consent forms, and the follow up questionnaire are found in Appendix 1. A follow up questionnaire was sent to all participants that invited participants to expand on interview questions.

Description of Data Set

Preparation

⁴ Ethnography, 'is the art and science used to describe a group or culture,' (Fetterman, 1998; Sangasubana, 2011, p. 568). "Ethnographers search for predictable patterns in the lived human experiences by carefully observing and participating in the lives of those under study." (ibid, p. 568) An ethnographic (inductive) approach was selected for this study to gain a nuanced understanding of the interactions between subjects, their motivations and behaviors, aspects of the study group that could only be understood through direct interaction with study participants.

The individuals and institutions participating in this research were carefully selected to provide variability. To achieve this, three public and three private U.S. libraries in academic institutions were selected to participate. Geographic distribution was also sought. While the three institutions are located in one state, the other three institutions are distributed across the U.S. Each of the institutions is located in a busy metropolitan area. Four of the six libraries in this study are members of the Association of Research Libraries group. Below is additional information about the participating institutions:

Institution	Carnegie Class.	Student Enrollment	Library Budget	Library FTE
1. Public	MC&U I *	38,000	\$8.6M	128
2. Public	RU/VH**	36,000	\$47M	433
3.Public	RU/VH	25,000	\$27M	291
4.Private	RU/VH	19,000	\$70M	656
5.Private	RU/VH	20,000	\$32M	362
6.Private	RU/VH	20,000	\$37M	271

(* Masters Colleges and Universities I; ** Research University/Very high research activity; Data are current as of 2012)

Public vs. Private

The chief reason why the study looks at both public and private institutions is to examine whether there are substantive differences in findings between these types of libraries in terms of the way in which the TMT teams are organized, their roles, factors that generate issues of strategic importance, and findings.

Subjects/Participants/Protocols

Chief Executive Officers (e.g., University Librarians, Deans of Libraries) and top management teams were selected as subjects for this study based on the assumption, drawn from the literature and from conversations with library deans and directors, that it is this group that addresses strategic decision-making in library organizations. To identify specific individuals in top management teams in the libraries studied, the principal investigator asked CEOs in the institutions studied to identify members of his/her top management team. All participants were briefed by the P.I. on the study and recitals for the project were shared that outlined the purpose and scope of the research prior to data gathering. All participants (n=34) reviewed and signed a Consent Form (See Appendix 1) prior to being interviewed. Interviews with participants took place between October 2014 and March 2015.

Data Collection

Data were collected for each institution that participated in the study and each individual participant. Institutional data for participating institutions was gathered primarily from published material and institutional websites that contained descriptions about the libraries, including their projects, priorities, and initiatives. Information was gathered about participants from library websites and the open web, including biographical sketches of participants, publications, and participation in professional activities. In-person data collection took place in private settings within participating libraries. Participating libraries were very accommodating in providing the principal investigator a private room to carry out interviews with

participants. Each participant was briefed on the scope of the project and provided the P.I. with written and verbal consent to participate. Interviews were audio recorded.

Data organization and analysis

Data organization and analysis took place on several levels. Demographic data about top team members, such as time in tenure, time in the profession, gender, etc. were tabulated manually. Certain tabulated tables of demographic data were combined, such as time in tenure before promotion, to see if there were relationships between findings. These are presented below in Chapter 4: Findings. The strategic issues that participants identified were coded according to common themes and the results are presented accordingly. Un-coded responses are also examined particularly as related to individual participants' roles in strategic decisions. These responses are presented in abbreviated form with emphasis on key contributions participants reported they had made. Audio recordings were listened to repeatedly with a progressive focus on aspects of subjects' narratives that provided useful insight into interview questions. Individual interviews ranged from approximately 45 to 180 minutes in length per participant. Findings from interviews are represented in Chapter 4: Findings. Additionally, a follow-up questionnaire was sent to participants that invited participants to expand upon material covered in the interview. A 68% response rate to the follow-up survey was obtained. Findings from the follow-up questionnaire corroborated responses to interview questions. A potential limit to the method and approach used in this study is that it is synchronic, that is, it gathers

data from individuals and from organizations on just one day in the life of an organization. Participants' individual narratives and responses to the questions central to this study might also be looked at diachronically, or over time. Diachronic or longitudinal study would provide further validation of the findings from this study. Indeed, certain aspects of this study may well lend themselves to future investigations. Some options in this regard are discussed in Chapter 6: Conclusion.

CHAPTER 4: FINDINGS

Introduction

This section contains responses to two sets of key questions asked of participants that together are designed to provide insight into the extent to which CEOs are involving their top management teams in strategic decision-making as a way of preparing them to assume executive leadership positions in academic libraries. The first set of questions below (Part 1: Organizational Structure and the Top Management Team) focuses on formal library organization (as detailed on the organization charts that were shared with the principal investigator prior to the study). Data are presented regarding those individuals who on the library's organization charts are considered to be on the top management team (TMT), the size and composition of the TMT; the composition of the TMT by title; the frequency of meetings of the TMT, and demographic characteristics of the TMT. These data address the following research questions:

-Who comprises the TMT?

- What are the job titles of TMT members?
- How frequently does the TMT meet and who participates?
- What are some of the key demographic characteristics of the TMT members (e.g., time in tenure, time in the library, time in the profession, gender, terminal degree, and promotion history)?

Responses to a second set of questions (Part 2: Strategic Decisions) focuses specifically on strategic decision-making within the TMT. In this section, participant's responses to the two most important (strategic) decisions made by the library during the past three years are presented, including responses to a series of sub-questions about those decisions, such as how the issue came to their attention, who was involved in the decision, if documents were provided, generated, created, or shared, the roles of participants, level of satisfaction with the outcome and the degree of agreement within the TMT on the final decision. These responses address the following research questions:

- What are two strategic decisions the library has addressed in the past three years?
- What roles did TMT members play in these strategic decisions?
- Does the TMT function as a group in making strategic decisions? Does this vary depending upon the decision?
- What is the role of the CEO in influencing TMT decisions?
- What role does the person to whom the CEO reports play in determining strategic direction?

The strategic issues identified by participants are presented in two ways. In Table 5: Distribution of Strategic Issues by Type, coded responses are presented within categories (i.e., services/programs, collections, space, organizational, financial, and management). Instances of co-citation of strategic issues (Table 9, Table 10) and instances of TMT Member and CEO Co-citation (Table 11) are provided. The strategic issues most frequently cited use coded responses. Responses to the questions of how strategic issues came to top managers' attention, who participated in the decision-making process, whether documents were provided, created, generated, or shared in the decision-making process, and measures of satisfaction and influence related to strategic decisions are based on un-coded responses. Full responses to several of these questions are found in a series of appendices at the end of the study.

These data are followed by responses to questions that provide contextual data about the organizations studied and top managers within these organizations. A series of responses on how, from participants' perspectives, success is measured were asked to gain perspective on the relationships between strategic decision-making and performance. A question on whether participants benefitted from being mentored during their careers was asked to probe if the presence of a mentoring culture within the cohort studied was present.

Part 1: Organizational Structure and the Top Management Team

Organizational Structure and TMT Composition

Organization charts from each of the participating libraries were shared with the P.I. prior to interviews with participants. These were then shared with participants in the interview sessions. Individual participants were asked to examine the organization chart for their institution and answer a series of questions. These questions pertained to organizational structure and the composition of the top management team. Responses to these questions are found below.

Defining the Top Management Team (TMT)

Each Chief Executive Officer (CEO) (Library Director, Dean of Libraries, etc.) was asked in advance of the interviews to identify for the P.I. those individuals considered to be on his/her TMT. Some CEOs have TMT members (with titles such as Associate University Librarian or Director) who manage 'functional' areas, and a series of direct reports (often including non-librarians who are often from non-management areas) who advise on strategic matters, and help the CEO manage the political, financial, human resource and public relations aspects of strategic decisions. All individuals who the CEO identified as TMT members were interviewed. Within the study group of libraries, the TMT is variously referred to as:

Executive Group

Dean's Council

Administrative Group

Administrative Team

Administrative Committee

Directors Group

Each TMT member was asked to identify on a current organization chart the individuals who they considered to be members of the TMT. Subjects most often identified TMT members as those who managed the library's functional areas.

Organizational diagrams from each of the libraries studied are found in Appendix 2.

The organizational designs represented by the charts are typical of hierarchical organizations.

TABLE 1. Size and Composition of Top Management Teams (TMT)

	Size of TMTs: (n=34)		
	Public	Private	Combined
Mean	3.6	8	5.6
Median	4	8	5
Mode	-	-	4
Range	1	3	

The public institutions studied tended to have *more compact* top management teams than private institutions. One reason for this may be the way in which CEOs in public institutions define their top managers. Generally, top managers in public institutions were identified as Associate University Librarians, each of whom managed portfolios related to operational areas in the library (e.g., technical services, public services, etc.). CEOs in these institutions (and TMT members) noted --depending on the strategic issue being addressed -- that line managers and other

individuals would be consulted, but that these individuals did not normally make up the core group charged with strategic decision making.

By contrast, CEOs in private institutions tended to identify a rather more expansive group of individuals as those routinely involved in strategic decision-making. Like public institutions, individuals in this group included those with portfolios that aligned to the operational aspects of the organization, but also included individuals, who served other functions (e.g., chief of staff, development officer, public relations person, legal advisor, etc.). Top team members' formal titles varied. Below is a table that shows the distribution of individual TMT members by title.

TABLE 2. Titles of TMT Members
in ranked order of frequency (n=34)

Associate University Librarian	13
Assistant UL	3
Associate Dean	3
Associate Director	3
University Librarian	3
Dean	3
Manager	1
Head	1
Director	2
Curator	1
Administrator	1

Structured Interview Questions

Interviews began with participants being asked, “Does this organization chart reflect the current design of the library?” Respondents pondered this question on average for about 1 minute before answering. 76.5% of participants responded ‘yes’ to this question. The remaining 23.5% of respondents made corrections to the chart, reflective of recent changes within organizations. One CEO commented that the chart was indeed correct, ‘but not for long’ as the library was about to undergo a complete reorganization.

This question was directly followed by a question that invited participants to, “Please identify those who you believe to be on the TMT.” As mentioned above, CEOs tended to identify their TMT members as AULs or other direct reports who manage specific portfolios within the organization. CEOs were also quick to point out others listed on the chart that they call upon for advice depending on the strategic issue. One CEO mentioned that these individuals meet with the TMT monthly to share information with the TMT and characterized these folks as ‘key advisors.’

TMT members tended to also identify those individuals reporting directly to the CEO with portfolio management responsibilities as comprising the TMT. They frequently pointed to groups of line managers and supervisors (the next tier down in the organization) as also informing strategic decision making if only on an occasional basis.

Participants were asked the related question, “Are there others not on the chart that you would consider to be members of the TMT (including external bodies, such as Boards, University Administration, Councils, Deans, etc.)” Responses to this question varied. Most CEOs stated that on a day-to-day basis those on the organization chart were involved most directly with strategy work. The CEOs were also quick to point to boards, committees of students and faculty advisors, funders, academic committees within the university as entities that--though not directly involved in developing strategic approaches to problems and issues--nevertheless played an influential role in supporting the library. In two cases CEOs noted that there weren’t too many strategic issues involving resources or changes in core business practices that could be made in their institutions without one or more of these external stakeholders being informed and supportive.

Participants were next asked, “Does the composition of the TMT vary depending on the issue involved?” There was consensus among all those interviewed that strategic issues were routinely placed before them as a group for discussion in meetings of the TMT. These issues would frequently come from the CEO or from other TMT members. A significant number of issues came from the Provost to the CEO who would then raise the issue with other members of the TMT. Within TMT meetings issues pertaining to a particular domain (e.g., collections, services, fiscal resources, facilities, etc.) would be discussed and then directed (usually by the CEO) to the appropriate AUL or Director for their attention and action. Regarding this dynamic, one CEO noted, “I rely on my top managers to run the day to day operations first and

foremost.” That said, virtually all participants noted that strategic issues are routinely brought before the TMT in regular meetings. One TMT member (an AUL) noted that, “we consider all issues as a group but one or more of the AULs may work on the issue off-line making sure to route all decisions to the CEO.”

One respondent highlighted the various layers of expertise that exist within his organization and how experts at various levels who possess specialized knowledge are often consulted on issues related to strategic decisions and how TMT members (AULS, Directors) would ‘sleuth out’ these folks and on occasion help facilitate communication among and between various teams, task forces, and committees to acquire the information needed by the TMT on a particular issue. The TMT was characterized by one TMT member (AUL) as being both ‘consultative and deliberative’ in how it gathers information from throughout the organization to inform discussions within the TMT on strategic matters.

While the formal shape of the TMT may remain stable when it comes to deliberations on strategic issues, it is clear from responses to this question that TMT members consult on an as-needed basis down into the organization and indeed outside of the organization when an issue is before the TMT group. Thus, it could be said that the symbolic shape of the TMT remains constant, but the functional shape of the TMT may change considerably depending on the strategic issue being addressed.

Another way in which the shape of the TMT changes depending on the issue being addressed is when, for example, a Human Resources Director, who may not normally be a member of the TMT, is brought into TMT discussions on compensation or reorganization. Similarly, a Manager of Facilities, who may not normally be a member of the TMT, is brought into TMT meetings when strategic issues involving building renovations, new construction projects, or off-site storage of collections are being discussed. The input of these 'consultants' or advisors is helpful to the TMT in considering factors that directly affect strategic directions and the tactical aspects of implementing strategic decisions.

One organization had a more formal process in which a 'Managers Plus' group was convened each month to address matters of strategic and operational importance. The TMT would meet with this group on a regular basis. This blending of the TMT with experts from other parts of the organization served in the view of one respondent as a way to create a 'web of communication' between the various individuals in the organization who could contribute to addressing strategic issues.

In one institution the library had formed a strategic issues working group, composed of an AUL and various other library staff to 'set direction and strategy' on specific library deliverables related to the university's strategic plan. This strategic working group resided functionally between the TMT and line management with a reporting line to the CEO. In this model, according to the CEO, the TMT is charged with 'removing barriers' so that strategic projects can be realized.

TMT Meeting Frequency

Members of the TMTs in this study reported meeting on a regular basis as a group to address both operational and strategic issues. Regular meetings provide a forum for sharing information on various projects and initiatives. Meetings also provide CEOs a setting for them to articulate strategic priorities and issues that are foremost in his/her mind. Meetings also serve as places where complex issues are discussed, debated and managed, where trust is established among TMT members (Simons & Peterson, 2000) and where strategic directions are forged. These debates and interactions (i.e., 'healthy conflict'), as noted by Simons, Pelled, and Smith (1999) contribute to decision comprehensiveness and performance. Eisenhardt et. al. (1997) point to the important role of healthy conflict within top management teams, which in their view leads to "the consideration of more alternatives, a better understanding of the choices, and overall, significantly more effective decision making" (p. 43). Findings from this study showed that regular meetings of the TMT are a core organizational behavior within the libraries studied. It is the place where deliberations take place and where strategic issues are presented and discussed and where actions are taken. While these meetings are highly valued within the libraries in this study, findings show that TMTs meet with varying frequencies.

TABLE 3. How Frequently Does The TMT Meet?

Twice a week – 11.7%
Once a week – 64.8%
Monthly – 23.5%
(n=6)

Demographic Characteristics of the TMT

A series of demographic questions were asked of TMT members. These included the number of years TMT members have served in their current positions (time in tenure), in the library, in the profession, and their terminal degree. From the time TMT members have served in the library and the time they have served in their current positions it could be determined if and when they had been promoted and whether the current CEO had promoted or hired them.

TABLE 4. Demographic Characteristics of the Top Management Team Members

Key: Time in tenure (TT); Time in this library (TL); Time in profession (TP); gender (G); and terminal degree (TD), and Promoted by CEO (P), Time to Promotion by the current CEO (TtP), Hired by current CEO (H).

Public Institutions								
Respondent	TT	TL	TP	G	TD	P	TtP	H
1.(CEO)	3.5	3.5	26	M	PhD	N/A	N/A	N/A
2.	1	14	18	F	MLS	Y	2.5	---
3.	1	1	5	M	MLS	---	---	Y
4.(CEO)	14	14	14	M	PhD	N/A	N/A	N/A
5.	1.5	1.5	18	M	PhD	---	---	Y

6.	1.5	17	35	F	MLS	Y	12.5	---
7.	7	13	20	F	MLS	Y	7	---
8.(CEO)	15	15	40	M	MLS	N/A	N/A	N/A
9.	8	8	30	F	MLS	---	---	Y
10.	10	10	31	F	MLS	---	---	Y
11.	6	27	29	F	MLS	Y	9	---
Private Institutions								
	TT	TL	TP	G	TD	P	TtP	H
12.	.09	3	3	M	PhD	Y	2.9	---
13.	4.5	15	39	M	MLS	Y	10.5	---
14.	.25	10	27	M	PhD	Y	9.6	---
15.(CEO)	23	23	45	M	MLS	N/A	N/A	N/A
16.	7.5	7.5	30	M	PhD	---	---	Y
17.	17	32	41	M	MLS	Y	6	---
18.	4	10	17	F	MLS	Y	6	---
19.	2	2	15	M	MLS	---	---	Y
20.	1.5	1.5	n/a	F	M	---	---	Y
21.	.25	3	30	F	MLS	Y	2.7	---
22.	5.5	5.5	23	F	MLS	---	---	Y
23.	.5	.5	n/a	F	MLS	---	---	Y
24.	20	20	35	F	MLS	---	---	---
25.(CEO)	8.5	8.5	38.5	F	---	---	---	---
26.	1	10	16	M	MLS	Y	7.5	---
27.(CEO)	12	12	43	M	MLS	---	---	---
28.	5	18	18	M	MS	Y	7	---
29.	3	14	22	F	MLS	Y	9	---
30.	5	15	18	F	MLS	Y	7	---
31.	4	4	n/a	F	M	---	---	Y
32.	3.5	3.5	3.5	M	M	---	---	Y
33.	1	32	37	M	MLS	Y	11	---
34.	4	4	10	M	MLS	---	---	Y

N/A = not applicable
na= not available

Tenure

Time in Tenure – The average time in tenure of top management team members (not including CEOs) is 4.3 years. The average time in tenure of top management teams members (including CEOs) is 5.9 years. The average time in tenure of CEOs alone is 12.6 years.

Time in Library – The average time in tenure ‘in this library’ of top management team members (not including CEOs) is 10.6 years. The average time in tenure ‘in this library’ of top management team members (including CEOs) is 10.78 years. The average time in tenure of CEOs ‘in this library’ is 12.6 years.

Time in Profession – The average time in the profession of top management team members (not including CEOs) is 22.8 years. The average time in the profession of top management team members (including CEOs) is 28.6 years. The average time in the profession of CEOs is 34.4 years.

Gender

Fifty four percent of top management team members (not including the CEO) were women. Eight of the 15 female top management team members (53%) were promoted into their positions by the CEO. On average, the time before promotion of women to the top management team was 6.9 years. Six of the 15 female top management team members (40%) were hired into their positions by the CEO. All female TMT members promoted or hired into the top management team possessed the MLS/MLIS degree. None possessed the PhD.

Forty six percent (13 of 28) of top management team members (not including the CEO) were men. Seven of the 13 male top management team members (53.8%) were promoted into their positions by CEOs. On average, the time before promotion of males to the top management team was 7.8 years. Six of the 13 male top management team members (46%) were hired into their positions by the CEO. All those promoted or hired by the CEO to the top management team possessed an MLS or MLIS. Of males promoted to the top management team 28.5% possessed the MLS/MLIS and the PhD. Of men hired into the top management team by the CEO 33.3% possessed a PhD.

Findings revealed that approximately the same percentage of men and women were promoted into the top management teams studied. About half of the men and women brought into top management teams were promoted from within organizations and about half were brought in from outside of organizations. On average, women were promoted slightly sooner (6.9 years) as compared to men (7.8 years). Approximately the same percentage of both women and men were hired into their positions by CEOs. One difference between men and women promoted or hired into top management teams is that 28.5% of men promoted and 33.3% of men hired into top management teams possessed a PhD, while 100% of women promoted or hired into top management team roles possessed the MLS/MLIS degree but not the PhD.

Part 2: Strategic Decisions

Participants were asked to identify two strategic decisions the library has made in the past three years. They were then asked a series of sub-questions about each issue, including:

- a) How did the issue come to your attention?
- b) Who was involved in the decision?
- c) Were documents provided, generated, created, or shared?
- d) What was your specific role in the decision?
- e) How satisfied were you with the outcome?
- f) Was there agreement within the TMT on the final decision?

(Prompts for these sub-questions are found in Appendix 1.)

Framing Definitions

To provide a context for selecting two strategic issues, two definitions of strategic decision-making were shared with respondents. The first states, “a strategic decision is defined as being important in terms of the actions taken, the resources committed, or the precedent set.” (Mintzberg et. al., 1976). The second characterizes strategic decisions as, “those infrequent decisions made by the top leaders of an organization that critically affect organizational health and survival.” (Eisenhardt &

Zbarecki, 1992). While more varied or nuanced definitions exist, these definitions provided a useful frame of reference for respondents to use to identify the strategic decisions they cited as important.

The 65 * strategic decisions cited by 34 respondents varied covering the range of functional aspects of library work, including, on one end of the spectrum, activities related to the various library departments, and on the other end of the spectrum, decisions related to fundamental changes to the library's business model. Issues also ranged from those that came to the library from within the organization to those that came to the library from the external environment, for example from boards, administrators, and faculty committees. Still other issues seem to be connected to factors beyond the university, such as the economy, vendors, and donors. Below is a list of the strategic decisions respondents identified classified by type.

(* Three respondents selected only one strategic issue to discuss.)

Strategic Decisions by Type

A. Services/systems/programs

1. Data management and planning service
2. Material science program
3. ILS system replacement
4. Linked data initiative
5. Collection driven program/exhibition
6. Assessment of a library technology service

7. Involvement with campus wide technology program
8. Outsourcing (e.g., data storage, materials processing, etc.)
9. Scholarly communication program

B. Collections (downsizing/shared storage, etc.)

1. Acquisition of new collections
2. Shared print storage for journals and monographs
3. Print collection consolidation
4. Developing special collections
5. Collection weeding
6. Digital library planning and implementation
7. Remote storage of collections
8. Digitization/repurposing of digital content

C. Space (new construction/renovation)

1. Construction of learning commons
2. Development of collaborative space
3. Renovation of existing or creation of a new library space
4. Closing a library facility

D. Organizational (reorganizing/restructuring/reassigning staff)

1. Reorganization of a library unit
2. Participative organizational visioning

- 3. Library reorganization/redesign
- 4. Changes in reporting lines

E. Financial

- 1. Reallocation/redirection of resources
- 2. Deployment of one-time funds
- 3. Budget reductions

F. Management

- 1. Creation of task forces/working groups/committees

The classification of responses resulted in the following distribution of issues.

TABLE 5. Distribution of Strategic Issues by Type

	CEOs (n=6)		TMT Members (n=28)	
	<u>Issue #1</u>	<u>Issue#2</u>	<u>Issue#1</u>	<u>Issue#2</u>
a. Services/Programs:	1	2	4	8
b. Collections:	1	2	4	6
c. Space:	3	0	5	3
d. Organizational:	1	0	7	7
e. Financial:	0	2	5	1
f. Management:	<u>0</u>	<u>0</u>	<u>3</u>	<u>0</u>
	6	6	28*	25*

(*3 respondents identified only one strategic issue to discuss)

TMT Citation of Strategic Issues

The strategic issues most frequently cited by TMT members (n=34) in ranked order appear directly below.

TABLE 6. Strategic Issues (n=65) Most Frequently Cited by TMT Members (n=34)

Organizational	15
Services	15
Collections	13
Space	11
Financial	8
Management	3
Total	65

CEO Citation of Strategic Issues

The strategic decisions cited most frequently by CEOs (sorted by Issue #1 and Issue #2) were related to:

Issue #1: Space (3); Collections (1); Services (1); Organizational (1)

Issue #2: Services (2); Collections (2); Financial (2)

Combining Issues #1 and #2 for CEOs the issues most frequently cited were:

TABLE 7. Strategic Issues Most Frequently Cited by CEOs (n=12)

Services/Programs:	3
Collections:	3
Space:	3
Financial:	2
Organizational:	<u>1</u>
	12

Given the changing nature of libraries from being repositories of books to being engaged learning spaces that provide a multitude of services in support of learning, teaching and research it is not surprising that CEOs cited space as a top issue. The tension to create more study space for students is countered by the continued influx of collections, including special collections, and new acquisitions of materials in print and audio-visual formats, a trend that shows no signs of abating. CEOs are often faced with negotiating for space to accommodate both needs, and they do so in an environment where academic programs and co curricular interests compete for finite space resources on campus. This study found that in addition to these tensions – or perhaps as a result of them – CEOs were increasingly exploring off-site storage for collections. Indeed universities in general are moving non-essential services and

personnel off campus to make room for classrooms and critical co curricular functions. The libraries in this study to varying degrees are swept up in this vortex.

That service, collection and finance-related issues were also viewed as important is not surprising: libraries are service organizations that facilitate access to knowledge resources and serve students' and faculty members information seeking and research needs by providing sustained access to print and digital collections through a myriad of coordinated services. These services require steady revenue streams to be sustainable. Each of the public institutions in this study has experienced the effects of economic belt tightening at the state and national levels. The CEOs and top managers in these institutions commented on this reality.

TMT Member Citation of Strategic Issues (Not Including CEOs)

The strategic decisions cited most frequently by TMT members, not including CEOs (n=28) sorted by Issue#1 and Issue#2 were related to:

Issue#1: Organizational (7)

Issue#2: Services (8)

Combining Issues #1 and #2 for TMT Members (not including CEOs) the issues most frequently cited by the group in ranked order appear directly below.

TABLE 8. Strategic Issues (n=53) Most Frequently Cited By the TMT (Not Including CEOs) (n=28)

Organizational:	14
Services/Programs:	12
Collections:	10
Space:	8
Financial	6
Management	<u>3</u>
	53

Frequent citation of organizational issues as a strategic concern speaks loudly to the soul searching and reinventing that certain libraries in the study are experiencing today to create the right mix of collections, services and personnel to meet the changing needs of library users. The trend to critically examine traditional library structures and organizational schema may be reflective of a larger trend in academic libraries today.

The identification of services as a top cited strategic decision category for TMT members (not including the CEO) is not particularly surprising as most if not all of the top managers interviewed oversee operational aspects within their libraries and

many of these aspects are service-related. Thus, it is expected that these managers would cite service-related issues.

TMT Member Co-Citation on Strategic Issues

While citation of issues related to strategic decision making produced an expected range of issues, one aspect of the findings that was not anticipated was that in some cases top management team members cited the *same* strategic issues. The table below shows instances in which TMT members cited the same strategic issue(s).

TABLE 9. TMT Member Co-Citation Of Strategic Issues

<u>Inst.</u>	<u># of TMT members co-citing/(Issue)/Topic</u>		
a.	2(C1)/Space	2(B5)/Collections	
b.	3(E2)/Financial	2(D2)/Organizational	
c.	4(D3)/Organizational		
d.	2(C3)/Space	4(E1)/Financial	
e.	2(D2)/Organizational	2(D3)/Organizational	2(A3)/Service
f.	4(A1)/Service	2(F1)/Management	2(C1)/Space

The strategic issues most frequently co-cited by TMT Members (n=34) in ranked order by topic, appear directly below.

TABLE 10. Issues (n=33) Most Frequently Co-Cited by TMT Members By Type

Organizational	10
Financial	7
Space	6
Services	6
Collections	2
Management	<u>2</u>

The distribution of issues co-cited by top managers viewed through the topics they fall under reveals a shared strategic concern for issues pertaining to the health of the organizations in which top managers work, financial issues, and space and services. Co-citation around organizational issues reflects a shared concern among the libraries in this study to adjust, refine, and in some cases completely change their organizational design to meet the changing needs of academic departments, schools, and library users. Co-citation on issues of a financial nature reflects libraries' concern with operating effectively in a budget-constrained environment. Indeed, several of the public institutions in this study have experienced dramatic budget cuts that have forced them to rethink their service models. Privates in this study have not been immune from the economic downturn that began in 2008 and continues to impact endowments and operational budgets. Several libraries in this

study reported being caught up in university-wide efforts to increase efficiencies across campuses, including, for example, initiatives to reduce costs through the consolidation of services, such as information technology. Concerns about space are a perennial concern on all campuses. Space is in short supply and high demand. Libraries engage in the fight for space to accommodate collections, people, and services. In this sense, co-citation on issues of space does not surprise. Of some interest is that collections and services, two stalwart strategic offerings of libraries in academic settings, fall to the bottom of the co-citation list. The seeming de-emphasis of these traditional aspects of library services may reflect libraries' shift to new concerns that are more focused on creating new, sustainable organizations that are situated more centrally in the flow of learning and teaching on campuses.

Defining Co-Citation

Co-citation is a similarity measure used by researchers in the field of library and information science. By definition, co-citation in a bibliometric context refers to instances when two or more documents 'appear simultaneously in the reference list of a third document.' (Nicolaisen, 2006) Co-citation frequency refers to the frequency with which two documents are cited together. The related concept of bibliographic coupling, is used to establish relationships between two documents. For example, two documents are coupled if they both cite one or more documents in common. Co-citation and bibliographic coupling can be motivated by a variety of factors, including but not limited to authors' relationships with other authors, an author's desire to recognize the works of eminent people in the field, or the

identification of works that relate directly to the an author's particular research inquiry.

Co-citation in the context of this research on top management teams in academic libraries is defined as *when one or more members of the top management team identify strategic issues in common*. The reason why this is an important factor is that when co-citation of strategic issues is present it provides evidence that there is a shared awareness within the TMT of issues of strategic importance. Of particular note, is when co-citation of an issue occurs between a CEO and a top manager, in particular when a top manager cites the same issue as their CEO. When this condition is present, it provides evidence that the top manager is closely aligned with the CEO on issues the CEO views as strategically important. This alignment is indicative that the top manager is being involved in strategic issues and through this involvement receiving on-the-job experience to assume an executive leadership role.

Co-citation of the same issue by two TMT members within the same institution may suggest that individual TMT members view the cited issue as strategically important. It may also mean that the issue has been discussed within the context of the TMT and earmarked by TMT members as of strategic importance. Multiple citations of the same issue or issues by TMT members may also be indicative of a shared understanding within the leadership team of issues that rise to the level of strategic as opposed to those that are operational or occasional. Of note in this

study are instances when issues that were cited by the CEO as strategically important were also cited by one or more members of the TMT. The citation of issues by TMT members that are also cited by the chief executive suggests a close alignment in thinking within the TMT between citing members and the CEO. When, as in the case of one institution, 3 of 4 TMT members and the CEO cite the same issue it suggests a high level of agreement among the TMT on what is considered strategic. Thus, the presence of co-citation among these various members of the TMT is an important TMT dynamic that is indicative of a shared understanding of issues of strategic importance.

TMT Member and CEO Co-Citation on Strategic Issues

Further examination of the presence of co-citation invites looking at the frequency with which top management team members co-cite issues with the CEO and the types of issues they co-cite. This examination is important because it may be an indicator that the top manager and the CEO share a vision on issues that rise to the level of being strategically important. This shared view of issues of strategic importance is indicative that the top manager comprehends big picture issues that are also viewed by the CEO as strategically important. This awareness of big picture issues and involvement with them in the context of the TMT is important evidence that top managers are being 'brought along' to assume leadership roles in academic libraries.

TABLE 11. TMT Member Co-Citation with CEO on Strategic Issues

<u>Inst.</u>	<u># of TMT Members Co-Citing with CEO/(Issue Co-Cited)/Topic</u>	
	<u>Issue#1 for CEO</u>	<u>Issue #2 for CEO</u>
a.	1(C1)/Space	1(B5)/Collections
b.	0(C3)/Space	2(E2)/Financial
c.	3(D3)/Organizational	0(B3)/Collections
d.	1(C3)/Space	3(E1)/Financial
e.	0(B3)/Collections	1(A3)/Services
f.	3(A1)/Services	0(A2)/Services

Issues Most Frequently Co-Cited

The strategic issues most frequently co-cited by TMT members and CEOs and number of times co-cited are found directly below.

TABLE 12: Strategic Issues Most Frequently Co-Cited by TMT Members and CEOs.

<u>CEO's Strategic Issue#1</u>	<u>Times co-cited</u>	<u>CEO's Strategic Issue#2</u>	<u>Times co-cited</u>
Space	2	Financial	5
Organizational	3	Collections	1
Services	3	Services	1

Top managers and CEOs tended to co-cite issues pertaining to organizational health, services and space as their first choice of important strategic issue. The second category of co-citation heavily favored issues of a financial nature, followed by collections and services. If one compiles the instances of co-citation between TMT members and CEOs the results line up remarkably well with the instances of co-citation within the TMT generally. Indeed the ranking order of co-citation topics among TMT members and co-citations with CEOs is remarkably similar as can be seen below.

TABLE 13. Comparison of Strategic Issues Co-Cited Within the TMT and With CEOs

	Co-citation Among TMT Members	Co-citation with CEO
Organizational	10	3
Financial	7	5
Space	6	2
Services	6	4
Collections	2	1
Management	2	0

Financial, organizational, space, and service matters comprise the set of concerns that CEOs in this study identified as high priority strategic issues and which select top managers also found of strategic importance. The relatively high percent of co-

citing TMT members is suggestive of a shared understanding within the TMT of issues of strategic importance. But what explains the presence of a significant number of co-citations with the CEO?

TMT Member Co-Citation and TMT Member Promotion

One possible answer to this question comes from looking at key demographic attributes within the TMT. One attribute that may provide insight into why top managers cite the same issues as CEOs is whether the co-citing top manager was hired or promoted by the CEO. In such cases, it may be that the CEO promoted a top manager because the CEO perceived in that person particular attributes that could be developed within the context of the top management team. It could be that as managers are recruited into top management, they enter a culture in which they are expected to pay particular attention to strategic issues affecting the organization rather than solely those issues that affect the day-to-day departmental operations. Participants in this study on multiple occasions mentioned the 'shift' they experience from being a line manager to being an administrator once they become a TMT member. This change is significant in terms of a manager's self-identity and in terms of the roles the manager is expected to play and the issues a manager is expected to pay attention to. Co-citation with a CEO suggests a top manager's awareness of particular strategic issues is present; that there is a cognitive alignment with the CEO's sense of what is important. Thus, when a top manager has been promoted or hired by a CEO and co-cites with that CEO issues of strategic importance, it may be a strong indicator that these top managers are, through

exposure and involvement in issues deemed of strategic importance by the CEO, gaining critically important on-the-job training that will prepare them to assume executive leadership roles in academic libraries.

The following table presents instances in which a TMT member and a CEO cite the same issue and if that TMT member was hired by or promoted into their position by that CEO, along with gender data.

TABLE 14. TMT Member & CEO Co-Citation and TMT Member Promotion

Institution	CEO's Issue #1	CEO's Issue#2	Promoted By CEO	Hired by CEO	Gndr.
a:	1(C.1)	1(B.5)	y		F
b:		1(E.2) 1(E.2)	y	y	M F
c:	1(D.3) 1(D.3) 1(D.3)		y	y y	F F F
d:		1(E.1) 1(E.1)	y y		M F
e:		1(E.1)		y	F
f:	1(A.1) 1(A.1) 1(A.1)		y y y		F M M

As discussed above, co-citation between TMT members and CEOs suggests a TMT member's cognitive alignment with the CEO, which can be viewed as evidence that that TMT member is in alignment with the CEO on issues the CEO views as strategically important. This alignment is an indicator that a TMT member is being brought into discussions on strategic matters and thus indicative that a TMT member is being 'brought along' by the CEO to acquire the skills and experience necessary for executive leadership.

As we look closely at those individuals who co-cited issues with the CEO and were promoted or hired by that executive, what demographic characteristics emerge? Eight of the twelve co-citing TMT members were promoted into their positions by their CEOs; four were hired into their positions by their CEOs. The mean time in tenure of co-citing top managers was 3.9 years. (See Appendix 8) The mean time in the profession of co-citing top managers was 14 years. There did not appear to be differences between public and private institutions on these characteristics.

Twelve top managers (8 female/4 male) co-cited 13 specific issues in common with their CEOs. The cohort of co-citers was split evenly between public and private institutions. There were no co-citations in one private institution. One TMT member co-cited both of the CEO's top strategic issues. Other instances of co-citation tended to cluster around one of the strategic issues cited by the CEO (e.g., financial, organizational, services, etc.). The types of issues co-cited in ranked order, appear directly below.

TABLE 15. Strategic Issues Co-Cited by CEOs and TMT Members (Who Were Hired or Promoted by CEOs)

	<u>Co-Citations</u>
Financial	5
Services	3
Organizational	3
Space	1
Collections	1

The presence of co-citation with CEOs on issues of strategic importance by 42.8% (12 of 28 top managers) of TMT suggests the existence of a culture within the academic library top management teams studied in which there is a shared understanding between top managers and CEOs on issues of strategic importance. Exactly how this cognitive alignment occurs--whether through one-on-one projects with the CEO, through exposure to particular issues in TMT meetings, or other means--is not known.

One indicator that may shed light on this question is whether the co-citing top manager was promoted or hired by the CEO. Data from this study found that all but one of the co-citing managers were either promoted by or hired by their CEOs. It may well be that CEOs recruit and promote those who they see as possessing the acumen to align with executive thinking. In this sense CEOs may be said to be

bringing along top managers in very intentional ways by hiring smart people, giving them access to executive concerns and priorities through various means and giving them the latitude to address strategic issues individually or as part of the top management team. This involvement is strongly indicative that chief executive officers (CEOs) in academic and research libraries are involving their top management team (TMT) members in strategic decision making that affects organizational performance, and, that involvement is preparing top managers to assume leadership positions as CEOs.

Findings from this study indicate that there is: 1) considerable agreement among top management team members in both public and private institutions on issues considered to be of strategic importance; 2) evidence that TMT members and CEOs in both public and private institutions agree to some extent on issues that are of strategic importance; and 3) evidence that all TMT members citing issues in common with CEOs were either promoted or hired by that CEO.

Sub Questions Related to Strategic Decisions

Once participants had identified two strategic issues, each were then asked a series of related sub-questions for each issue. The first of these was “How did the strategic issue come to your attention?” Responses to this question are represented below.

TABLE 16.a Sources From Which Strategic Issues Emerged
(Public Institutions)

	Issue #1	Issue#2
Provost	4	0
V.P. Academic Affairs	1	0
Central Administration	0	1
Faculty	1	2
CEO	2	4
TMT	0	1
Strategic plan	3	0
Budget reductions	3	2

For public institutions, respondents tended to rank first those strategic decisions that impacted the library from other parts of the university. Strategic issues of secondary importance tended to be generated from within the library. In some cases issues are linked, such as the case in one library that was given a directive to create more usable study space for students (Issue #1 for that respondent) which resulted in a weeding of the collections (Issue #2 for that respondent) to create the desired study space. Reductions to the library’s budget can have a cascade effect that directly influences strategic decisions, including in the case of one library studied, in which economic exigencies hastened the implementation of aspects of a strategic plan. As a TMT member from that institution said, “the library took on a reduced budget as a strategic opportunity to reconfigure and downsize...to become a leaner

library.” Another respondent, from the same library who cited the budget cuts as a motivation for a strategic decision, noted that the state-driven budget cuts to the university forced the library to adopt a new service model. In one institution, state budget cuts coupled with reduced external funding for a capital project required the CEO to work closely with campus partners to reduce the projected budget on an important library renovation. This resizing process enabled the project to remain alive.

In several cases strategic issues for libraries arose from the faculty. In one of these cases, faculty reacted to a plan prepared by the library in response to flagging resources during an economic downturn. Faculty reactions to the plan served to direct substantial additional funding to the library from central administration while also influencing the library’s strategic priorities in the process.

TABLE 16.b Sources From Which Strategic Issues Emerged
(Private Institutions)

	Issue #1	Issue#2
Provost	3	0
CEO	19	15
Curators	1	0
TMT member	4	4
Director of Development	1	1
Staff	1	1
Foundation	0	1

For private institutions, strategic issues tend to come from the CEO to the TMT. External forces (such as the economy, space politics, campus priorities, etc.) may be behind strategic issues, but the CEO is usually cited as the one who brings the issue to the TMT.

Participation

The next sub-question, “Who participated in the decision making process?” was asked of each participant to identify those individuals who were involved in discussions about the strategic issues cited. Individual responses to this question are found in Appendix 4 sorted by public and private institutions. Specific issues are coded according to the table found above on pages 72 & 73. Individuals beyond the TMT who were involved are coded according to the table found directly below this section.

Contrary to some commonly held views of leadership in hierarchies that characterize top managers as working behind closed doors in isolation to craft strategy and then announcing decisions to subordinates who carry out the work, responses to this question, by academic library top managers, identified a wide range of actors who contributed to strategic work often in open, collaborative ways. The TMT members in this study reported being involved in the specific issues they cited to varying degrees. Actions that place strategic decisions before TMTs may originate from outside the library or indeed from outside the campus. Findings on

this question reflect the rather broad and diverse array of individuals with whom TMT members reported working with once an issue was raised within the context of TMT deliberations.

Individuals, with whom TMT members consulted, collaborated, conferred, sought input from, and in some cases directly involved in key decisions, include persons from both inside and outside the library. Internal participants include, for example, library supervisors, library selectors, and technical services staff. External participants include, for example, attorneys, consultants, and architects. Of the 42 examples of participants involved in strategic issues that TMT members identified, 55% were internal to the library and 45% were external to the library.

Responses to this question provide evidence that rarely does the TMT alone make strategic decisions. Issues of strategic concern tend to be addressed by clusters of individuals who carry out their work gathering data, compiling reports, assessing impact, and then this information is reported back to the TMT or to perhaps only one or two members of the team. These individuals then will typically brief the CEO, or bring the findings to the whole TMT for discussion, deliberation and action.

Strategic decisions might involve one or more TMT members and select individuals from outside the TMT who act as advisors to the TMT or to the CEO, as well as middle managers whose feedback is useful in gauging the impact or potential impact of strategic decisions on organizational performance.

Documentation

A third sub-question, “Was documentation provided, created, generated or shared?” was asked that invited participants to identify documents which may have been helpful to the TMT in their deliberations. The thinking here is that the presence of documents being provided, created, generated, shared, is indicative of a flow of information related to the strategic issue. Full responses to this question are found in Appendix 5.

Responses to this question confirmed that strategic decisions often do involve the copious production of documents and in many cases these documents are shared with TMT members and with others in the library and in the university. The sharing of documents within the TMT in particular is indicative of a certain degree of ‘information flow’ present in the strategic decision-making process. While the extent to which these documents are being archived was not explicitly asked, respondents volunteered on numerous occasions that the organization of documents (description, arrangement, preservation) for future access was not a specific library priority.

TMT Members’ Roles

A fourth sub-question, “What role did you play in the decision-making process?” was asked of participants as a way of delving more deeply into the dynamics within the

TMT to gain insight into the specific roles participants played regarding strategic decisions. Abbreviated responses to this question are found in Appendix 6.

Specific Roles of CEOs

Some key differences were observed between the roles of CEOs who worked in public institutions and those who worked in private institutions. CEOs in public institutions tended to focus a great deal on goal setting, managing information flow within organizations, communicating the vision to staff, 'keeping spirits of staff up', delegating to TMT members, and encouraging staff. Accordingly, building projects, collection consolidation efforts, and organizational redesigns were top issues for CEOs in the public institutions examined.

CEOs in private institutions tended to devote a great deal of time to working with individuals external to the library, including vendors, consultants, and funders. They also tended to devote considerable time to charging TMTs with project responsibilities and advocating for projects with constituents. As might be expected, asset development, the introduction of new services financed by private sources, the establishment of new services marketed to constituents, and changes to the library's core portfolio offerings were top issues for CEOs in the private institutions examined.

Specific Roles of Top Managers

Approximately half of the TMT members in public institutions reported (in reference to their first strategic decision) that they worked with units outside of the library (e.g., “represented the library to the university community”; “worked closely with the academic affairs office”, etc.). The remaining TMT members tended to discuss their roles carrying out specific tasks, sometimes associated with high-profile projects. For example, one TMT member noted, “I was the lead on closing an important branch library.” Other task-oriented duties were also noted, for example, one TMT member noted, “I developed a white paper on ‘what if’ scenarios related to our reorganization project.” Another individual noted briefing the dean prior to an important meeting with other deans.

Within private institutions, the roles played by TMTs ranged from managing internal affairs by working closely with other TMT members and line managers, to serving on search committees, to assuming a leadership role in designing and carrying out projects, to representing the library at external meetings on particular issues (e.g., linked data, shared storage of print materials, etc.). As one TMT member from a private institution noted of his role, “I was manager for the project. [In that capacity] I worked with the Human Resources Department, the Chief Financial Officer, and with departmental managers.” I also, “pulled together key information and made decisions to move the project along.” A TMT member in another private institution cited his administrative role: “I played an administrative role to keep the whole project moving forward; handled intellectual property issues; and worked closely with other TMT member on management aspects.” Another TMT cited a

similar role: “I heard concerns, considered impact, decided what would get done when.”

Of particular interest in relation to the central research question of this study (e.g., To what extent are chief executive officers (CEOs) in academic and research libraries involving their top management team (TMT) members in strategic decision making that affects organizational performance, and, the extent to which this involvement is preparing top managers to assume leadership positions as CEOs?) are the roles played by top managers who cited strategic issues in common with the CEO and were either hired or promoted by that CEO. What can we learn from how the CEOs characterized their roles on issues and how top managers characterized their roles? Is there a common thread to these self-characterizations that further supports the assertion that top managers are aligned with CEOs on strategic issues? Below is a table of the self-described functions and roles of co-citing CEOs and top managers drawn from the strategic issues discussed by respondents.

TABLE 17. Co-citing CEOs and TMT Members: Functions and Roles

<u>CEO's functions/ roles</u>	<u>TMT Members' functions/roles</u>
1.Communicator/kept lines of communication open	Communicator/represented the library Administrator/developed procedures
2.Communicator/kept communication lines open	Communicator/represented the library Advocate/created and shared documentation Communicator/shared info with managers
3.Delegator/set goals and guidelines	Manager/Carried out charge; maintained vision Administrator/Crafted strategy
4.Decision-Maker/worked with external actors	Manager/worked with external partners
5.N/A	N/A

6. Advocate/worked with constituents

Communicator/liased with faculty
Manager/worked with consultant
Manager/worked with university partners

Within two of the organizations studied (1&2 above) we find CEOs functioning principally as communicators. The emphasis that these CEOs place on communication as an important functional role is mirrored by the respective co-citing top managers. A third CEO stated his role as a delegator. Co-citing top managers in this library reported taking on administrative and managerial roles to carry out the CEO's directives. A fourth CEO characterized his role as a decision maker focused on working with various external partners. For this strategic issue, co-citing top managers also reported working with external partners. The sixth CEO (n.b. co-citation was not found in one institution) characterized her role as advocating for the library with constituents external to the library. This outward facing work was strongly reflected in the functional roles that co-citing top managers reported, which included liaising with faculty, working with consultants, and collaborating with university partners.

In each of these cases we find evidence that co-citing top managers are aligned with their CEOs on the roles and functions important for successfully addressing the strategic issues in question. In some cases roles and functions are mirrored exactly by co-citing top managers (e.g., communication, working with external partners). In

other cases we see top managers' roles as extensions of a CEO's functional role (e.g., carrying out directives, sharing the vision).

A final sub-question was asked of participants regarding the strategic issues they selected to discuss. It was: "Was there agreement among decision makers on the way forward?" Responses to this question on the whole fell into two broad categories. One category was either a quick yes or no. The other category offered more nuanced responses, such as "we agreed to come to consensus" or "opinions on the outcome were mixed, but we agreed to move ahead with the decision for the good of the library" As one TMT member stated, "It was a decision I could live with and I know that while it wasn't my preferred direction, it was one that was best for the library at this time." That sentiment was repeated with some frequency by TMT members, and reflected a kind of emotional intelligence (Kreitz, 2009) that is found in top management teams characterized by the willingness to put aside operational identities and personal preferences for the good of the organization as a whole.

Library Organizational Performance Metrics: Measuring Success

To better understand ways in which TMT members measure library performance and in turn ways in which that performance is tied to organizational effectiveness, the question, "How does your library measure success?" was asked. There were wide-ranging responses to this question from gathering and counting transaction statistics (gate counts, items circulated, downloads, etc.) to faculty impressions of the library, to how university executives spoke publically about the library.

Summary responses to the question are found below sorted by CEOs in public and private institutions and TMT members in public and private organizations.

Complete responses to how success is measured are found in Appendix 3.

CEOs in Public Institutions

CEOs reflected carefully on the question of how they measure organizational success and offered insights that reflect the changing role of the library within the academy.

For example, one CEO from a public institution remarked, “We continue to use old input and output measures (transaction statistics); they are good indicators, but are not particularly significant in terms of telling the story of how the library has an influence on student success.” He added, we also gather qualitative data from surveys and these are increasing more useful, but we are challenged (but interested in) gathering quantitative data around student success that is linked to library use.

At some point we hope to carry out longitudinal studies that track student success over time with regard to the library.” A CEO from another public institution took a rather different view, noting the importance of preserving the value of the library as place, observing, “Physical use of the library is an important metric. If people are using the library in various ways it is a ‘sign of vitality.’ When they come they are essentially, ‘voting with their feet.’ Should students shun libraries and flock to social clubs and unions I believe that would be a bad thing.” Yet another CEO from a public institution noted a very wide range of metrics that the institution uses to check the pulse on how they are doing. He noted, “We have and currently make great use of

ARL stats, and comparative statistics from a subset of ARL institutions we consider peers of sorts. During a recent budget crisis we looked at how many library dollars per student were being made available. We also pay attention to longitudinal comparisons regarding percentages spent on collections or staff. Additionally, digital metrics such as tweets, re-tweets, program downloads, e newsletters sent, downloads of articles are useful indicators of how we are doing.”

CEOs in Private Institutions

CEOs from private institutions provided insightful responses to this question as well. One director noted, “ARL statistics are interesting but not definitive. We are working with a private funder to develop new benchmark and assessment methods and a strategy. This is very interesting to our provost and president.” This CEO then remarked, “One way we measure success is by the lack of complaints.” He added that his organization achieves this by, “always changing the mix of services, being innovative, and addressing student and faculty needs... by anticipating needs, high level of interactions with faculty and department chairs, and committees, and by testing solutions before deploying them” and finally, “we respond quickly when we do get complaints.” He added that at his university there “isn’t a culture of strategic planning, it is opportunistic.” A chief executive from another private university library responded to the question with two words: ‘Happy faculty.’ She elaborated, “I measure success by how well we are received at annual budget meetings. Measurements of success are sometimes tangible, sometimes not. I can look at funds raised, or some other things, but these are not always telling. A political success is

sometimes the best success, how we are perceived, who was pleased. If the general level of complaints is low that is an indicator we are doing things right, satisfying our users. The opinion of the provost counts as well, especially when he shares positive views about the library publically and with colleagues. Success sometimes occurs when budget increases come automatically after years of making the case.” A third CEO remarked that, “We have a formal process of assessment that is tied to the university’s strategic plan. The library has adopted numerous goals that align with that plan.” He added, we don’t care about ARL statistics. We are what we are and really don’t compare ourselves to others. No one has ever asked us where we stand in the ARL rankings. We only have 20K students and no Law school. So far people here are happy and we are happy (and doing well).”

TMT members responded to this question in a slightly more granular way, noting the significant time people under their direction spend collecting transaction statistics, survey data, and other forms of feedback from constituents as to gauge success. While it was reported by TMT members that considerable types of data (transactions, gate counts, etc.), are being collected, compiled reviewed, and compared, it was not clear from respondents exactly how these data were being used to improve performance.

TMT Members in Public Institutions

TMT members in public institutions cited the collection of transaction statistics for the purpose of production trend analysis within institutions and benchmarking with

peer and aspirational institutions. Off-the-shelf products are used to log and manage these data. Professional development activities undertaken by librarians are also tracked, especially in those institutions that have a rank and promotion system for librarians. One TMT member in a public institution noted, that “even though we are not an ARL library, we track ARL trends, statistics and current issues that reflect interest within the ARL community.” Providing a more application-specific response to the question, one TMT member noted, that, “metrics need to be tied to local performance issues. They need to be tied directly to patrons and reflect what the local student population is saying about the library.”

TMT members to a large degree acknowledge the value of the ARL statistics as a robust data set that they routinely pay attention to. Less clear was how examination of comparative data from the ARL statistics are assessed locally and in turn how or if these data influence strategic thinking or provide the TMT with insight into performance at the local level.

At one public institution, it was noted that faculty are increasingly becoming aware of library rankings. Noted one TMT member, “even though we are a leading research library, a faculty member in a department wants to know why the library isn’t ranked number one [among libraries].” Another TMT member from the same institution noted, “faculty really want to hang their hats on ARL data, but library faculty are increasingly skeptical of whether the ARL stats are useful metrics to assess how impactful libraries are in the lives of students and faculty. No one wants

to fall in rankings but there are other factors to consider. We look at the ARL stats because the faculty have adopted these metrics, in fact we spend a good deal of time explaining to our faculty that the ARL statistics don't tell the whole story, it is a more complex and nuanced picture than what the rankings and pure numbers show. We want to ask about a lot of other things, for example, for those who spend time in the library, how does that affect their academic performance. How are we doing? How are we contributing, these are the key questions we should be asking. Counting things simply doesn't tell the story especially as libraries count things in different ways."

TMT members at another public institution found the ARL statistics of use when embarking on a reorganization of the library. The statistics from peer libraries provided this library with useful comparative data in staffing sizes and budgets to help them understand what was 'reasonable.' Another TMT member from the same institution observed, "we look at ARL stats, and we invest a lot in compiling these numbers, but more and more we are looking at other metrics, such as usage of facilities, services, and resources. For years, we have collected these data that show visitors, transactions and so forth. Now we are looking at what that means in terms of the impact we are having, the integration of the library into the university. We are probably the norm, in that we would like to come up with better ways to gauge success. "

TMT Members in Private Institutions

TMT members in private institutions also expressed an interest in exploring new ways to assess library impact within the university and a means of gauging organizational success beyond counting transactions, comparing budgets, and comparing aspects of current operations with peer and cohort institutions. One TMT member noted, “our work is changing and much of what we do is not reflected in any statistics. For example, in my work we are asked to do mapping from one metadata standard to another; that [activity] produces a huge intellectual output but no numbers that can be easily counted and compared with other institutions. It is hard to tally these things.” Another TMT member observed, “the library is currently in the process of coming up with a new way of measuring success; a new framework. There is a lot of dissatisfaction with the current way of counting things. One component of the new way will be to better know how [the library’s] resources are specifically being used by scholars.” A colleague added, “We plan to look at some new ways of documenting the value that libraries add to the university and to academic life. We collect statistics but we probably don’t deploy them very much.” A colleague TMT member added, “We’ve long since gotten away from gate counts and volume counts as a way of gauging success.” Instead, we try to look at the level of innovative work we have done with patrons, and we try to measure our success from the feedback we are receiving from our users.” We have talked about doing an annual survey; the committee on libraries (faculty and a few students) has been a helpful sounding board; we try to look back on projects where we assess from hindsight our key successes. We measure success by the extent to which we are

having a positive impact on users, being innovative and forward thinking,...the library of the future, not the past.”

A TMT member who oversees Special Collections notes an example where transactions statistics help provide the basis for understanding how the library supports research. He noted, “I pay attention to how many items are paged per year. If you have 8-9000 items a year, that is impressive. Plus the anecdotal feedback. Another variable for success is seeing the [high] volume of scholarship that is taking place with our collections by scholars outside of our institution. This speaks to our global reach. For example, 75% of our users are not from our institution. Online access to collections through finding aids is increasing this trend. Other measures of success include the increasing number of classes being taught in special collections and dissertations being produced by researchers using the collections.”

Within the disciplines, as noted with faculty in public institutions, there is increasing interest in the library be ranked highly, particularly if the university or the academic program within the university is highly ranked. Faculty sees a ‘disconnect’ when their academic program is a leader and the library that supports that program is not.

A newly recruited member of one TMT noted, that traditional statistics “don’t reflect how we are impacting teaching and learning.” Of all those who responded to the question of measuring success, this respondent was the only TMT member who asked this: “How do we measure leadership?” She added, we must learn to use the

data we collect in new ways, for example tracking citations of scholars using our collections.” We don’t take the data at face value—we ask more questions about it and look at indicators that support our primary goal as being a resource for our community.”

One TMT member in a private institution noted the recent recruitment of an assessment librarian as helpful to the library in developing new ways of measuring its impact on the learning and research communities it serves. Within this organization, an assessment committee has been formed that looks at qualitative and quantitative data, including web analytics. The TMT member reporting on these activities, noted, “in that group, we tend to pull that info together and it goes to the TMT for review. I think this will help us better assess student learning.”

The limitations of certain types of comparative data were noted by one TMT member, who observed, “for budget requests we used to look at dollars spent on libraries per student as compared to our peers.” She noted that, “This year at the budget hearings they said ‘stop telling us that’ which encouraged us to look for other data points that would better tell our story.” She added, “we look at the ARL investment index and we are near the bottom, yet this doesn’t get the attention of higher ups. What matters most is whether the students are satisfied and faculty is getting what they need.”

While respondents mentioned the practice of looking at peer data there was uniform agreement in the limitations of doing this. One TMT observed a shortfall of this approach: "Peer institution lists are flawed as no two institutions are really very much alike. Even within our peer group we are outliers because most members are large state institutions and we are a small private institution." A finer point was put on the exercise of comparative analytics by one TMT member who said, "The university as a whole does not value the library anywhere to the extent that our peers do."

A rather more pragmatic view of how the library measures success was offered by one TMT member who noted, "we measure success by what our funders think of us." Another TMT member from the same institution cited the extent to which the library's key performance measures were met as a measure of success. These line up with strategic performance expectations at the university level. The TMT member added, "yes, we typically report gate count, circulation, and instruction statistics, but I am not sure they tell the right story. I have never been satisfied with these measures. Who knows if what was taught in an instruction session makes a difference in a student's life in the long term." Another TMT member cited the lack on accountability on the input side as a missing element in the equation of measuring ROI for types of work carried out in the library. Pointing the social stratification that exists in libraries and the challenges of engaging these cultures around a common goal, one TMT member mentioned, "we track transactions, such as items lent or borrowed, but to my mind they don't tell the story. There are micro

cultures in the library and each have their own way of measuring success. I am asked to share my successes with the CEO each year. I am not sure there is much agreement within the TMT on what this looks like.”

Mentors

TMT members were asked if they have or have ever had a mentor, someone who has influenced them, advised them, or helped them in their vocational call to be a librarian. This question was posed to get a sense from the CEO’s perspective and from the TMT members’ perspectives if mentoring was part of their formative experiences as a librarian. An overwhelming majority of TMT members in public institutions (91%) stated that they had indeed had a mentor at some stage in their career. A significant number of these subjects (73%) cited their mentors as librarians who were their senior (e.g., a university librarian for whom they worked, a dean of libraries at another institution senior to them, etc.). Interestingly, only 9.1% of TMT members cited their current CEOs as their mentors. Additionally, 100% of individuals promoted into TMT positions from within their organizations were promoted by CEOs who reported that they had had a mentor who significantly influenced them in their development as executives. The extent to which these mentoring experiences remain with top managers as schema that shapes their views of mentoring others or expectations of being mentored is not known, but an inquiry that invites future work as related to the central focus of this research.

TMT Member Identity

To better understand ways in which TMT members characterized themselves, the following question was asked: “In a word or two please describe your functional role within your organization?” One expectation was that given the changes that libraries are going through these days, self-descriptions would be wildly variable. Surprisingly, participants tended to describe themselves in rather traditional ways. Of some interest is the way in which some TMT members who oversaw specific operational areas (e.g., technical services, etc.) either identified with that particular operation, or, identified themselves as ‘administrators’ For example, CEOs in public institutions (n=3) each characterized themselves as administrators. CEOs in private institutions (n=3) tended to think of themselves in rather more expansive ways (e.g., leadership and relationships, articulating a vision; strategic problem solver, coach; Connector – putting the right people together).

Of the 13 (non-CEO) TMT members (out of 28 total) (46%) who had been hired or promoted by their CEO and who cited at least one of the same strategic issues as cited by CEOs in their institutions, 8 of these individuals (62%) described themselves as ‘administrators.’ The other five individuals in this group described themselves around the portfolios they manage (e.g., technical services, IT, etc.).

CHAPTER 5: DISCUSSION

Introduction

This chapter considers findings drawn from the data gathered in Chapter 4 above, and in particular how these data address the central thesis of this research *that CEOs are bringing along top managers to assume positions of leadership through participation in strategic decision-making in the library*. This chapter begins with a sketch of organizational types to provide a point of orientation for the reader, followed by observations about changes that are impacting traditional library organization models, including those brought about by changing user expectations and demographic shifts within libraries. A discussion of strategic decision-making follows in which some background and commentary is first offered on the emergence of business concepts, such as strategic planning, and their application in academic settings.

This backdrop provides a context for a discussion of findings with emphasis on the implications of those related to co-citation of issues by one or more TMT members and co-citation of issues by TMT members and the CEOs as indicators of strategic alignment within top management teams. These cognitive indicators strongly support the thesis of this research that CEOs are bringing along top managers.

The discussion next turns to measures of success and metrics used by top managers and CEOs. A brief discussion of aspects of the TMT such as identity, interactions,

team building strategies and composition, are next offered to provide a cultural context in which top managers operate. These variables are examined in relation to their influence on strategic decision-making.

Organizational Types

Mintzberg (1990) describes the manager's role and the core activities managers carry out to be effective under a variety of circumstances and within various organizational settings. He also maps out the various types of structures commonly found in organizations, including their shortcomings and attributes.⁵ They are:

The Entrepreneurial Organization

This type of organization has a simple, flat structure. Typically, it consists of one large unit with one or more top managers. It is unstructured and can appear informal compared with other types of organizations. The entrepreneurial organization is 'fast, flexible, and lean'. Many companies emulate this model for its perceived adaptability and flexibility. One of the vulnerabilities associated with entrepreneurial organizations is that as they grow decision-makers at the top can become so overwhelmed that they start making bad decisions. This is the point at which they are forced to share decision-making power and how this done may disrupt the organizational ethos. There is also a business continuity risk within

⁵ Mintzberg notes that while these constructs are useful in identifying the attributes of organizations, that "the effective organization will favor some sort of configuration – some type of a logically consistent clustering of its elements – as it searches for harmony in its internal processes and consonance with its environment." (Mintzberg, 1980 p. 322)

organizations like this in that as CEOs retire or move out of the organization a leadership vacuum may result.

The Machine Organization

The machine organization is a tight vertically structured bureaucracy in which work is very formalized. Routines and procedures are standardized, decision-making is centralized, and tasks are grouped by departments that carry out specific functions. Jobs are well documented and clearly defined. Typically there are standardized formal planning processes in place and procedures are regularly analyzed and assessed for efficiency purposes. One of the pitfalls of machine organizations is that the emphasis on formalization can lead to specialization and this can create 'stovepipes' within the organization that develop goals that are in conflict with other units in the organization which may not align with or support corporate objectives.

The Professional Organization

The professional organization is also very bureaucratic, but the essential difference between the two is that professional organizations rely on 'highly trained professionals who demand control of their own work.' In these organizations there are high levels of specialization, and decision-making is diffuse. This model is typically found in knowledge organizations, such as universities, schools, and law firms. Typically, professional organizations are reasonably complex and rely on the rules, policies and procedures to carry out core work and to maintain efficiency. One of the shortfalls of the professional organization is 'the lack of control that senior

executives can exercise, because authority and power are spread down through the hierarchy.' This can make change within these organizations difficult to achieve.

The Divisional Organization

This organizational type typically has many different 'product lines and business units.' A central unit provides support for and coordinates the work of a number of 'autonomous divisions' that provide their own managerial oversight. Large and mature organizations such as General Motors or Nabisco Foods are examples of divisional organizations in that they offer a variety of brands or services, produce a wide range of products, and/or operate in a variety of geographic regions. Divisional organizations encourage managers to maintain more control and accountability than in a machine structure. This may allow managers time to focus on big picture strategic issues. One downside to the divisional structure is that it may encourage competition among the divisions for limited resources from the central unit.

The Innovative Organization

The innovative organization, sometimes called the 'adhocracy,' is found in new industries and within companies that need to innovate and function on an 'ad hoc' basis to survive. Filmmaking studios, which rely on the perpetual injection of new ideas and concepts into the product line, typically fall into this category. In the innovative organization, many decisions are decentralized and power and control is delegated on an ad hoc basis. Workers move from team to team as projects are created, completed, and as new projects are defined. In this sense, adhocracies are

extremely adaptable and can respond very quickly to market demands. But innovation comes at a price. For example, conflict can arise 'when authority and power are ambiguous' and working within an extremely fluid environment where change is constant, can be stressful for some employees. ⁶

Libraries as Professional Organizations

The professional service organization model could be considered as the type of organization that most closely resembles those found in this study. Maister (2009) characterizes professional service organizations as not unlike medieval craftsman's shops in which 'apprentices (junior managers or new hires), 'journeymen' (mid-level managers or experienced professionals), and 'master craftsmen' (senior partners or upper management) work in a tiered reward-driven fashion to deliver knowledge services. "The professional service organization must focus on creative ways to keep staff motivation and morale high, and they should develop strategies to attract – and keep – the best and brightest professionals. Without talented human capital, firms are not likely to survive in this competitive field." (Maister, p. 11).

While traditionally, libraries have most closely resembled professional organizations, the changing demographics of librarians, staff, users, and a multitude of external factors impacting libraries, require that libraries continually evaluate organizational design and function to assure that clients' needs are being met. The considerable emphasis that respondents in this study placed on organizational

⁶ (adapted from: http://www.mindtools.com/pages/article/newSTR_54.htm)

issues reflects concerns on these issues. Evidence for this is found below in the ranked ordering of topics of strategic concern that participants identified, which shows organizational issues of paramount concern.

The ranked order of types of strategic issues (n=65) cited by TMT members (n=34) drawn from Table 6 above, are as follows:

Organizational	15
Services	15
Collections	13
Space	11
Financial	8
Management	<u>3</u>
Total	65

Twenty three percent of strategic decisions (15 individual strategic decisions) cited in this study were related to organizational issues. These issues ranged from organizational changes taking place at the unit level, to task forces formed to look at organizational issues, to library-wide consultant-led envisioning processes aimed at identifying new ways to organize the library. The predominance of issues related to organizational change may be an indicator that libraries are seeking new ways to be more efficient, better use the knowledge, skills and abilities of employees, and better align with institutional priorities. Some evidence that library organizations are

beginning to adapt to the forces of change can be found in the emergent 'hybridization' of professional titles assigned to TMT members, such as AUL for Finance and Operations, AUL for Digital Initiatives and Collaborative Services, etc. It may be that through the diversification of duties assigned to TMT members through 'hybridization' that TMT members are gaining new crosscutting skills and knowledge that will serve them well in an executive leadership capacity.

But there are other factors that may also be at play. For example, demographic changes in libraries that are occurring through the retirement of long-tenure employees and the recruitment of younger individuals whose values align perhaps more closely with an 'adhocracy' or entrepreneurial type of organization – may also be a factor driving libraries to reevaluate the way they are organized.

Financial exigencies at the local, regional, national and international levels are often drivers of change in organizations. The recent financial downturn, which began in 2008 (characterized by several in this study as the 'global recession') and which resulted in significant budgetary cuts to both public and private institutions, was cited on multiple occasions in this study as being causal in motivating strategic decisions related to organizational rethinking.

The increasingly demanding expectations of users of libraries -- to have perpetual access to everything immediately -- may well also be a factor that is motivating libraries to restructure services to provide rapid delivery of content to users.

Traditional models of service in which patrons seek help and assistance from librarians and library staff is rapidly being replaced by models of service that reach out into communities of users, and whenever possible, anticipate services needs of faculty and students. An example of the movement for librarians and libraries to be more directly in the flow of teaching and learning can be found in the embedded librarian model in which a librarian actually relocates to an academic department so as to be more adjacent to student learning and to faculty research and teaching.

Additionally, many of the services traditionally associated with libraries are being outsourced, and these services need to be carefully managed within organizations. Consortial inter-library lending, off-site book storage and retrieval, cloud-based digital content storage and management systems, for example, each require particular types of managerial oversight that libraries must cultivate. The assessment of traditional services and the implementation and management of new services as the findings of this research shows are of strategic concern to top managers. Finally, new opportunities for libraries to align with faculty in support of teaching and research may be yet another factor that is influencing libraries' strategic thinking about how they might organize to better deploy services, collections and expertise.

As of this writing, concerns about how best to build the 21st century academic /research library collection are unfolding at rapid pace. While libraries will continue to balance monograph and serial investments, and curate digital resources to meet

teaching and research needs, new forces are at work that will change the way collections are thought about and constructed. A report ⁷ by the Association of Research Libraries Task Force of the Steering Committee on Transforming Research Libraries (2012) observes:

“Twentieth-century research library collections were defined by local holdings, hailed as distinctive and vast. Twenty-first century research library collections demand multiple strategies for ensuring broad access...In a networked world, local collections as ends in themselves make learning fragmentary and incomplete. Twenty first century collection management will therefore require increased collaboration within and among institutions, as well as a shift from thinking of collections as *products* to understanding collections as *components* of the academy’s knowledge resources.” (p.2)

As more and more emphasis in today’s libraries is being placed on connecting resources -- often held in disparate locations around the globe -- to researchers and students, new ways to develop seamless methods for doing this important work are being developed. Much of this work is made possible by the convergence of networks that provide students and scholars with access to knowledge resources. Changes in the ways in which we describe information objects, through for example link-data protocols, offer new pathways for discovery. The findings from this study indicate that a considerable degree of concern is being devoted to thinking about these issues.

Since the mid 1990s, growing emphasis has been placed on the ‘library as place’ where students “seek out intellectual interaction, informational exchange, and

⁷ “21st-Century Collections: Calibration of Investment and Collaborative Action,” ARL Issue Brief, Association of Research Libraries, March 10, 2012, <http://www.arl.org/storage/documents/publications/issue-brief-21st-centurycollections-2012.pdf>.

socializing in an academic environment...” (Leighton and Weber, Planning Academic and Research Library Buildings p.3) The emergence of the information commons where technology abounds, space for group work is available, and digital tools and content are readily available through stable, fast technology has found firm footing in many libraries, including several in this study. These spaces are where students can conduct serious work, be with friends, research and write papers, enjoy beverages and food, make a video presentation for class, do research in databases and electronic journals, prepare for a class group project or presentation, surf the web, use social media, attend talks, and learn about digital tools that can assist them in their academic work (Seal, 2014). As libraries scale these spaces to meet the evolving needs of students, new issues emerge. A group of concerns centers around providing continued access to technology (hand held cameras, tablets, latest hardware and software) and access to the furniture and fittings (movable tables and chairs, writable surfaces, study rooms) conducive to group work. The libraries in this study showed, through identification of space as a key strategic issue, that they were indeed concerned with creating and scaling information commons and learning commons to meet students’ needs. These concerns intersected with collections concerns, in particular, the challenges of ‘right sizing’ collections to meet learning and research needs in conjunction with the creation of high impact learning spaces.

Moving toward Adhocracy?

While it is commonly stated that libraries are slow to change, findings from this study suggest that there are certain changes occurring within top management teams that indicate a cultural shift --toward a more autonomous and dynamic organizational model--is taking place. The first indicator of this is the emergence of trust as a guiding principle operative within the TMT. In several of the libraries studied it was mentioned by TMT members that the top management team meets occasionally without the CEO present. The ability for TMT members to meet as a group without the CEO suggest that the CEO trusts the group to some extent to work well together and is willing to give the group the power to do so without fear of the top team disintegrating to a band of 'autonomous barons.' Along with increased autonomy come increased performance expectations (deliverables), that TMT members described carrying out. This was well-stated by one TMT member from a private institution who noted, "I was responsible both administratively and curatorially to champion the interpretation of content areas, and to line up portions of the collections with academic interests."

Another indicator that organizations are interested in creating an institutional capacity to address the changing role of the library in the academic setting has to do with the emphasis those libraries in this study place on face-to-face meetings on strategic issues. Libraries as complex organizations are by nature deliberative. To acquire the capacity necessary to deal with both known and unknown changes that are impacting libraries, top management teams meet on a regular basis. It may well

be that these regular face-to-face meetings contribute to managers being exposed to and involved in deliberations of a strategic nature. To the value of communication between and among managers that can only result through persistent communication, Mintzberg (1990) writes,

“In practice, management has to be two-faced—there has to be a balance between the cerebral and the insightful. So, for example, I realized originally that managerial communication was largely oral and that the advent of the computer had not changed anything fundamental in the executive suite—a conclusion I continue to hold. (The greatest threat the personal computer poses is that managers will take it seriously and come to believe that they can manage by remaining in their offices and looking at displays of digital characters.) But I also thought that the dilemma of delegating could be dealt with by periodic debriefings— disseminating words. Now, however, I believe that managers need more ways to convey the images and impressions they carry inside of them. This explains the renewed interest in strategic vision, in culture, and in the roles of intuition and insight in management.”

This study found that top management teams value face-to-face meetings and meet frequently and often for extended periods of time.

A final aspect of organizational rethinking/remaking was found in the comments by several TMT members who observed that ‘there are many cultures within the library’ (e.g., special collections, cataloging, etc.) and each brings its own perspectives to bear on the work and on management, and on organizational performance. In a professional service type organization, these cultural differentiations can help inform strategic work. Several TMT members reported ways in which their library was exploring new avenues to better share and understand these cultural differences, by creating settings that brought staff together outside the workplace, including activities (i.e., sports teams, outings, etc.)

that offered opportunities for informal socialization to build ‘social capital’ within the library. These efforts are examples of ways libraries can help build a culture of trust⁸, autonomy, and accountability which can encourage managers to remain engaged and committed to organizational goals and priorities even in times of change and uncertainty.

Strategic Decision Making

Robert Birnbaum, professor of higher education at the University of Maryland, College Park and a former higher education administrator, writes, “the idea of higher education as a social institution has been displaced by higher education as an industry” (2000, p. 226). In this he is referring to the adoption by universities of what he terms ‘corporate fads’ embraced to help universities perform better, more efficiently. Birnbaum notes the following corporate fads that have been adopted by universities in the interest of increasing efficiency, production and ROI:

Planning Programming Budgeting System (PPBS) 1960 – 1974

Management by Objectives (MBO) 1965 – 1980

⁸ Fulmer & Gelfand in a comprehensive review of the literature on trust offer this definition of the two key aspects of trust operative in organizations. “ We define trust in an interpersonal referent at the individual level as a psychological state comprising willingness to accept vulnerability based on positive expectations of a specific other or others, trust in an interpersonal referent at the team level as a shared psychological state among team members comprising willingness to accept vulnerability based on positive expectations of a specific other or others, and trust in an interpersonal referent at the organizational level as a shared psychological state among organizational members comprising willingness to accept vulnerability based on positive expectations of a specific other or others. Likewise, trust in an organization at the individual level is defined as a psychological state comprising willingness to accept vulnerability based on positive expectations of an organization, and trust in an organization at the team level as a shared psychological state among team members comprising willingness to accept vulnerability based on positive expectations of an organization, and trust in an organization at the organizational level as a shared psychological state among organizational members comprising willingness to accept vulnerability based on positive expectations of an organization.” (Fulmer & Gelfand 2012, 1174)

Zero – Base Budgeting (ZBB) 1970 – 1985

Strategic Planning 1972 – 1994

Benchmarking 1979 –

Total Quality Management (TQM) 1985 – 1996

Business Process Reengineering (BPR) 1990 – 1996

One of the challenges of adopting business models to higher education, Birnbaum contends, is that businesses and government organizations are fundamentally different. For-profit businesses and government agencies “are bureaucratized, formalized, hierarchical, and tightly coupled... In contrast, colleges and universities are professional organizations – are loosely coupled systems in which managers with limited authority provide support for relatively autonomous specialists” (p. 150). Thus, in business, effective control can be maintained by detailed rules and clear contingencies, whereas in academe many important behaviors are governed by informal, sometimes-tacit rules, and contingencies are often not clear.

Yet, the adoption of practices borrowed from business can benefit academic institutions, including libraries. For example, “the introduction of these practices can often change long-established institutional structures and processes in positive ways. A ‘fad’ may supplement or replace existing channels of communication; it may create new groupings of people who otherwise might have never interacted.”

(Lamal p.68)

Offering a slightly different but perhaps equally critical view on the inclination of university administrations to apply business principles to the academic project, Smith (2000) finds, “that market principles continue to be misapplied to American higher education, causing an undermining of the educational process. He argues that criticism of higher education’s traditional way of doing business as constituting fiscal and personnel mismanagement is wrongheaded.” He further notes that, “almost all of the remedial measures taken to correct these assumed inefficiencies have proven counterproductive.” Instead, he contends, “we must attend to the central problem confronting American higher education, which is “trying to do too much with too little...we need to determine what we are willing to pay and how these costs are to be allocated” (Smith, 2000, p. 133). According to Smith, real economic efficiencies require building on traditional academic management and governance structures, which have proven to be highly market sensitive. Smith (2000) says that the unspoken assumption underlying many criticisms about higher education is that it is overpriced and that any businessperson could run it much more efficiently and economically. But, says Smith, “They couldn’t and wouldn’t because most academic institutions have historically been run in a highly efficient, if organizationally unorthodox manner” (2000, p.3). That unorthodox manner underscores the differences between business and higher education. Unlike businesses, colleges and universities do not have owners and their goal is not to maximize profits. All of their “customers” are subsidized and the “product” is sold at less than the cost to produce it. Thus, in contrast to businesses, colleges and universities have multiple and conflicting goals and intangible outcomes.

Strategic Planning in Libraries

In spite of these criticisms, it is rare these days to encounter a university – or a university library - that does not have a strategic plan. Indeed, participants from five of the six libraries in this study reported that their libraries either had or were working on strategic plans. The strategic issues identified by participants in this study, while not always explicitly aligned with formal strategic planning objectives, seemed to fall into two distinct groups.

The first group is characterized by actions, projects, and decisions affecting operational management of departments and units within the organization. This set of issues looks down into an organization and is focused on refining or improving line management efficiency. The issues identified by participants in this group (e.g., collection weeding, creation of a managers 'plus' committee, etc.) also reflect the strategic emphasis that TMT members place on interfacing with middle managers (MM) (Raes, et. al., 2011) and the importance of maintaining those interfaces for optimal organizational performance. Raes notes, "We conceptualize the interface of the TMT and MMs as a place where the separate worlds of the TMT and MMs intersect, characterized by an alternation of episodes of contact, during which interaction or "interface processes" take place, and periods of no contact, during which TMT and MMs act on their own on the basis of assumptions, expectations, and roles. A critical postulate in the interface model is that what happens during the episodes of contact influences what happens in the periods without contact." (Raes, 2011, p. 103) Individuals who cited inward looking issues frequently stated as their

strengths their knowledge of the inner workings of the organization. As one recently minted TMT member noted, “My strength is that I have done each of the jobs held by people who report to me.” The technical knowledge that comes from this type of experience can be tremendously useful in acquiring a broad view of an organization’s technical capacity, knowledge that can help a TMT assess the risks and rewards associated with a strategic decision. An open question is whether a TMT member who possesses formative experiences grounded so completely within the production side of the library can make the mental leap necessary to see the ‘forest from the trees.’

The second group is composed of strategic decisions best characterized as being rather more outward looking, in particular those issues and decisions that may have a sustained impact on library services, the way the library is perceived within the community, its political position, economic stability, and alignment with institutional goals and priorities. Strategic issues that fall into this group include development of a data management program, creation of a learning commons, implementation of a new ILS system, allocation of special funding and closing an iconic library.

Strategic plans are often closely tied-- in theory if not in practice -- to assessment of library programs and projects. These assessments provide frameworks for collecting data to evaluate progress toward stated goals and objectives. Increasingly the product within university, academic and indeed library strategic plans is

learning outcomes, a concept promoted by regional and national accrediting bodies. The push for universities to provide direct and indirect evidence of student learning has permeated the academic project and it has found its way into the narrative of libraries. Within this study for example, both CEOs and TMT members queried on how they measure success, spent considerable time articulating their library's need to develop better metrics on assessing the impact that library services and resources were having on student achievement. The emergence of assessment programs in libraries and the proliferation of assessment librarians being recruited to manage this aspect of library work is indicative of libraries' turn toward data-driven management that draws on evidence surrounding the impact that space, collections, services, librarians and staff interactions are having on students and faculty. These efforts may well identify new ways for libraries to measure success in the period ahead.

Emergent library strategies also seek to explore how libraries can extend their services beyond those traditionally offered in past. For example, one private library exemplified this approach through several new programs it was creating to serve faculty. One of these was the creation of a data curation service. The other was building out the library's conservation program in ways that aligned it with scholarly interests, activities and research in the material sciences. These enhancements to existing programs and indeed the creation of entirely new programs based on or drawn from library programs and projects may well signal one way in which libraries are positioning themselves to be better organizationally

and functionally aligned with academic programs on campus and with the needs of the broader scholarly community.

Another area that presents opportunities for libraries is in development of a comprehensive curatorial strategy that spans print and digital resources. In this approach, which is in nascent stages in some of the libraries in this study, organization takes place around activities that focus on the broad interpretation of collections for research and teaching as opposed domain specific, format specific foci. One example of this approach was found in a library that was taking a leadership role at the national level to develop metadata schema to facilitate the use of linked data to enhance access to scholarly resources and make apparent connections between information objects managed by the library.

Within the context of the TMT, a balanced mix of individuals is needed who 'keep the flywheel turning' (Collins, 2001), and whose perspectives skew to issues that are outward looking, and those who can conceive of ways to leverage, extend and integrate existing services in new ways to add value to teaching and research. Each CEO will assemble his /her TMT accordingly to harmonize with his/her leadership schema and repertoire (Hambrick, 1991) and the prevailing needs of the library and its strategic position within the university.

This is a complex undertaking. To understand how this balance is achieved while CEOs involve their top managers in strategic work invites examination of several

indicators of involvement. These strategic alignment indicators include: 1) top team heterogeneity and strategic issue co-citation, 2) satisfaction and influence, and 3) time in tenure and promotion. It is essentially a composite of these indicators that provides further evidence of a culture of development of top managers in academic libraries. A proposition in this regard is outlined below.

Strategic Alignment Indicator 1: TMT Member Heterogeneity and Strategic Issue Co-Citation

A prevailing idea within the stream of literature that deals with TMT behavior is that TMT composition, especially heterogeneity (or diversity of members' attributes) influences 'proximal team processes' such as innovation and profitability. While there are divergent views on the role of heterogeneity -- and most recently the moderating role of forms of TMT structural interdependence on TMT performance (Hambrick, Humphrey, Gupta, 2014) -- heterogeneity continues to be a useful characteristic to consider when examining TMT behaviors as related to organizational performance. The theory of TMT tenure heterogeneity states that individuals who 'enter an organization at about the same time tend to develop shared perspectives, ease of communication, and overall cohesion, and that individuals tend to be skeptical or even dismissive of those with different tenures (Ancona and Caldwell, 1992; Hambrick, Humphrey, Gupta, 2014).

To understand if there is a positive association between TMT time in tenure heterogeneity and strategic issues cited in this study by two or more members of

the TMT the following table was constructed. In four of the six libraries studied instances of co-citation by TMT members who shared times in tenure was noted. The times in tenure and strategic issues co-cited by TMT members follow.

TABLE 18. TMT Member Time in Tenure and Strategic Issue Co-Citation

<u>Organization</u>	<u>Time in Tenure between TMT members</u>	<u>Issue</u>
a.	1.5 /1.5 years	Financial *
b.	6/8 years	Organizational *
c.	1.5/4/4.5 years	Financial *
d.	1/1 years	Financial

While no positive association between time in tenure and heterogeneity was found among co-citing TMT members and CEOs in the four institutions above in which co-citation was noted, CEOs in three of these institutions also co-cited the issues co-cited by TMT members. Those instances are indicated in the table above by an asterisk.

Findings indicate a close ratio in time in tenure in years between TMT members who cited the same issue or issues. This supports the supposition that TMT members with same or similar tenures do in fact tend to ‘develop shared perspectives,’ which in this case results in shared perspectives on issues they would characterize as strategically important. These shared perspectives, as the findings

indicate, may in some cases also align with CEO's views on issues of strategic importance.

Strategic Alignment Indicator 2: Satisfaction and Influence

TMT members were asked to rank the degree of influence they felt they had had on each of the strategic decisions they spoke about when interviewed. For those issues cited by both a TMT member and a CEO it provides an opportunity to compare influence ratings self-assigned by the respondent – in other words the degree of influence the TMT member felt he/she had on the outcome—with the CEO's perception of that TMT member's degree of influence on the strategic decision. The working assumption here is that if the self-ranking and the CEO's ranking are wildly divergent, that would suggest roles and responsibilities pertaining to the strategic decision were not clarified or well communicated to the TMT member as part of the deliberative process. By contrast, if both the TMT member and the CEO similarly rank a TMT member's influence on the same strategic issue, that suggests that aspects of the strategic issue were communicated, roles were clarified, and deliverables articulated, including the TMT member's role.

A delta of 3-4 points between a TMT member's self ranking on an issue and a CEO's ranking of the TMT member on the same issue would suggest a misalignment between the role the TMT perceived they played and the role the CEO perceived the TMT member played. This would not support the notion that CEOs are engaging TMT members in strategic decision-making to the extent that a TMT member

believes they are having influence on the outcome of a decision. Conversely, if there is agreement between the TMT member and the CEO on the influence rating from both the CEO's perspective and the TMT member's perspective, then it suggests alignment between that TMT member and the CEO on perceived influence, which becomes evidence supporting the claim that TMT members are being engaged in strategic decision making and perceptions of involvement –in this case influence— are mutually acknowledged by both CEO and TMT member.

TMT members were asked to rate on a scale of 1-5 (1= not satisfied, 5=very satisfied) their level of satisfaction with the outcome of the two strategic decisions they cited. A follow-up questionnaire sent to participants asked them to rate themselves on a scale of 1-7 (1=no influence, 7=much influence) regarding the level of influence they felt they had had on a particular decision. Nine (9) of the twelve TMT members who co-cited issues in common with CEOs and who were hired or promoted by their CEOs, provided ratings to the satisfaction and influence questions. Their rankings appear directly below.

TABLE 19. Satisfaction & Influence Ratings for Co-Citing TMT Members (n=9)

Respondent	Issue #1 Satisfaction	Issue#2 Influence	Issue#1 Satisfaction	Issue#2 Influence
1.	5	5	4	6
2.			4	4
3.	4	5		
4.	4	6		
5.	3	1		
6.	4	2		
7.	5	5		

8.	5	6
9.	4	4

Overall, TMT members rated themselves as being satisfied with strategic decision outcomes and in all but two cases rated their influence as moderate or high.

Satisfaction with outcome and influence are two important factors that together are indicative of engagement with an issue. High satisfaction indicates a favorable outcome to the decision. A high influence indicator coupled with a high satisfaction rating offers further evidence of TMT member involvement in strategic decision-making.

It is of note that in each of the three public institutions studied, there was a TMT member in each who cited the same issue (s) as the CEO, was promoted or hired by that CEO, and ranked their degree of satisfaction and their perceived degree of influence as high. In each of these cases the CEO independently ranked the TMT member's influence as high as well. By contrast, only one out of three private institutions in the study presented the same conditions. Of note is that the one institution that did present the same findings, had three TMT members who cited the same issue as the CEO, who were hired or promoted by that CEO and recorded high levels of satisfaction with the outcome of the decision and their influence on the decision. The CEO again confirmed the TMT member's high level of influence.

More work is needed here (e.g., a larger sample) to understand the extent to which congruent rankings of influence by TMT members and CEOs are useful variables to consider when assessing TMT alignment with and involvement in strategic decisions and the extent to which this involvement supports the central thesis of this research that chief executive officers (CEOs) in academic and research libraries are involving their top management team (TMT) members in strategic issues that affect organizational performance, and, that involvement, when present, is preparing top managers to assume leadership positions as CEOs.

Strategic Alignment Indicator 3: Time in Tenure and Promotion

What is the role of time in tenure as a predictor for promotion to the TMT? Is there a culture of 'bringing along' managers to assume leadership positions within the TMT? One CEO commented that his philosophy of leadership was to develop line managers to assume leadership positions in the TMT rather than going to the marketplace to fill these jobs. To examine whether this notion of 'promoting from within' was supported by data gathered as part of this study, time in tenure before promotion was examined. Some interesting findings emerge. For example, 54% of TMT members (n=28), (excluding CEOs) were promoted into their positions by the CEO (57% of individuals promoted were women). The number of years in tenure before promotion ranged from 5.7 to 21 years, the median being 11 years and the mean 11.7 years across all of the intuitions studied. One message here for aspiring managers hopeful of promotion to the leadership group is to budget the requisite time necessary for this to take place while being mindful of the stage, or 'season'

(Hambrick, 1991) the CEO is in with regard to his/her time in tenure. Hambrick's theory argues that there are, "discernable phases, or seasons, within an executive's tenure in a position, and that these give rise to distinct patterns of executive attention, behavior, and, ultimately organizational performance." (p. 720)

Assessing TMT Engagement Based Upon Issues Cited, Promotion, Satisfaction and Influence

Looked at discretely, instances of issues cited by two or more TMT members, and perhaps by the CEO, whether a TMT member was promoted into his/her position by the current CEO, a TMT member's level of satisfaction with a decision outcome and a TMT member's perceived influence on a decision, it is difficult to assess the full extent to which TMT members are being brought along to assume leadership roles. If, however, one views these aspects together, a composite form of evidence emerges that is compelling. The presence of such evidence reflects strong alignment with executive decision-making which in turn is indicative of a TMT member's awareness of, involvement in and alignment with a CEO's sense of issues that rise to the level of strategic. When this composite condition is present within a TMT it suggests that an individual TMT member can critically distinguish between operational and strategic issues. It also suggests that the individual has been intentionally recruited or promoted for their skill, knowledge and/or ability to identify and address strategic issues. When this composite indicator is present it further suggests a heightened degree of alignment with the CEO's vision, one that necessarily takes into consideration the long-term health of the organization and its

role within the university, both important frames of reference for an aspiring executive to possess. Thus, when composite characteristics are present, the following proposition is offered:

Proposition: TMT Composite Characteristics and Strategic Alignment

It is proposed that a TMT member who cites an issue also cited by the CEO to which the outcome of the decision is rated by the participant as good or very good (3-5 on the scale) and for which the member rated themselves at a moderate or high level of influence (4-7) corroborated by the CEO, it is a strong indicator that that TMT member is being exposed to strategic issues and given a substantive role within the context of the TMT to address these issues.

Measuring Success: Library Performance Metrics

Libraries are in a transition period with regard to how they measure success. While many of the TMT members in this study mentioned that they routinely spend inordinately large amounts of time and effort collecting and compiling transaction statistics, virtually all participants quickly added that the numbers don't tell the whole story, especially in an environment where the library is increasingly being asked to show its worth in more nuanced ways. Worth and value are increasingly being looked at as metrics measured in part by the extent to which libraries are serving faculty research needs and advancing student learning. A more difficult metric that was cited with frequency is how the library shows how student success is tied to students' use of library resources and services. Given today's emphasis on

strategic planning in universities, it was interesting to note that only one private library cited its close alignment with university strategic plans as a strategic priority. Another absence in the slate of metrics libraries pointed to was an explicit measure of how and the extent to which organizations are developing their rank and file staff and librarians for the future. While participants referred to mentoring staff and advising colleagues, no one cited the extent to which their workforce was being developed as a metric of strategic importance.

There is considerable variance in the way that TMT members gauge success. Even within individual TMTs there is not agreement, beyond counting things, of ways in which success is measured. Among libraries in the study, public institutions seemed to place the most emphasis on gathering statistics and paying attention to comparative data from peer institutions. In looking at the strategic issues TMT members cited, there does not appear to be a significant relationship between the type of issues cited and the ways in which TMT members and institutions measure success. TMT members in both public and private institutions in this study tended to cite the growing importance of looking for ways to take the pulse of those they serve as a measure of success.

Mentoring

Mentoring is often positively associated with 'bringing along' individuals to assume leadership positions. It is also used to orient newly hired employees to technical and procedural aspects of jobs. Mentoring can occur formally or informally. Mentoring

programs, such as those sponsored by ALA, ARL, ACRL and other professional organizations are designed to provide aspiring professionals with guidance from seasoned professions. Akin to professional coaching and in some ways to leadership institutes designed to groom executives, mentoring within the library context focuses on cultivation and development of an often broad range of skills. Mentoring is examined in this study to understand the extent to which it is present and how subjects view their mentoring experiences. The presence of a 'mentoring culture' may be helpful in understanding the extent to which the notion of 'bringing along' TMT members occurs within libraries. The presence of a mentoring culture may, for example, predispose CEOs to provide TMT members with opportunities to apply their knowledge, skill and ability on issues of strategic importance. These opportunities, like all executive delegations, come with risks that a CEO – and indeed the entire TMT—must accept as part of doing business. These are the risks associated with being a dynamic, learning organization.

Each of the CEOs in public institutions reported they had had mentors at some point in their careers. One respondent noted of his mentor experience, "it wasn't a formal mentoring relationship... she simply modeled what a library could become when it reached beyond itself to others within the university community, and that got my attention." Another CEO noted that he followed around an outgoing university librarian and through this relationship mentoring occurred. Another CEO cited a CEO with whom she had worked at another institution as her mentor.

Other TMT members characterized their mentoring experiences as either informal and diffuse, or, formal and focused. One respondent noted that her mentorship relationship with a CEO in a former position wasn't particularly well defined: "I just learned a lot watching her." Another TMT member remarked that she had had a group of mentors who over the years have collectively guided her along in her career and was hard pressed to name but one. One TMT member noted, "I have had colleagues who I would call 'peer coaches' with whom I have had good conversations." By contrast, one respondent cited a rather more formal mentoring relationship with a former CEO that resulted in the respondent being sponsored by that person for an ARL leadership institute.

While a predominance of individuals citing the often influential roles that mentors had played in their professional journeys was noted in this study, it is not clear the extent to which these mentoring experiences are playing a role in CEO and TMT members' decision making processes, or if these experiences incline TMT members to mentor others or indeed expect themselves to be mentored. More research is needed to explore the dynamics of mentoring and its effect on decision-making and leadership development in the TMT. Findings from this study indicate that mentoring is a variable to be more closely examined. Evidence for this was found in a comment by one CEO who reflected on the important role that his mentor had played on shaping his sense of the importance of looking for ways for the library to 'reach beyond itself' to the broader academic community. The respondent also cited

this individual with having a strong influence on his administrative skills such as fund raising.

Identity

It was hard for some TMT members to step outside of their former identities as line managers or supervisors when asked to identify strategic decisions that the library has faced or will face in the future. Citing issues of strategic importance was perhaps most challenging for TMT members whose identities, as librarians, were associated with long tenures in a particular domain of library work, such as special collections. These individuals were challenged to cite examples of decisions that have affected the library enterprise as a whole. By contrast, individuals who had rather more expansive view of strategic issues tended also to take a broad view of technology and its current and future impact on the library and its publics. These individuals -- who tended to oversee either information technology or technical services -- on the whole possessed a rather more broad view of the library as an information /knowledge agent. They were also able to articulate, for example, some of the innate limits to the architectures that underpin current information discovery, preservation and access information structures that are in common use today, and comment on how these systems may not scale in the future, especially as information objects multiply exponentially and user demands and expectations for access to these object similarly mature.

CEOs in public institutions (n=3) each characterized themselves as administrators.

CEOs in private institutions (n=3) tended to think of themselves in rather more

expansive ways (e.g., leadership and relationships, articulating a vision; strategic problem solver, coach; Connector – putting the right people together).

Thirteen non-CEO TMT members out of 28 (46%) of TMT members who had been hired or promoted by their CEO cited at least one of the same strategic issues as cited by CEOs in their institutions. Eight of these individuals (62%) described themselves as “administrators.” The other five individuals in this group described themselves around the portfolios they manage (e.g., technical services, IT, etc.). Several of those who self-identified as administrators did so with a certain proviso. For example, one TMT member noted, “ I call myself a librarian, but I am more an administrator.” One newly minted TMT member noted, “I am feeling the growing pains of moving from a functional area to a rather more pan-disciplinary, pan-departmental administrative position. Balancing metadata concerns with people sleeping in the library can be a challenge.” Another respondent noted, ““Before I was a TMT member I used to be suspicious of administrators, but now I’ve become one. To my surprise, I find there is a real satisfaction in being involved in the bigger conversations and seeing how the results pan out.” Finally one TMT member characterized his role as, “ being a bridge between many areas, providing back up for the CEO.” The variability of responses suggests that as library managers move into TMT positions they experience a kind of identity shift from rather more programmatic concerns associated with functional areas, to thinking broadly about issues that affect the health and welfare of the institution as a whole. The data from this study supports the notion that those hired or promoted into their positions as

TMT members and who have identified one or more issues of strategic importance that match the CEOs tend to think of themselves as administrators. A question for future research is the extent to which TMT members are able to maintain a balance between overseeing the functional areas contained within their portfolios, and keeping an ear to the ground for strategic issues that may be on the CEO's radar.

The Utility of the TMT

TMTs serve various purposes for CEOs. They provide a sounding board for executive decisions the CEO is making, they serve as knowledge experts for those functional areas they manage and they can help an executive assess the organizational impact of a strategic decision. This knowledge is invaluable to the CEO. CEOs continually fine-tune their TMTs with individuals who possess knowledge, skills and abilities (KSAs) that align with the strategic vision of the organization, which is frequently set by the CEO. The top executive will bring individuals into the TMT who may not have years of tenure in a particular area, but who have the potential for being developed and who possess knowledge that can be used by a CEO to advance the library's programs, its utility, and its stature within the university. As these individuals participate in the complex work of the TMT and are exposed to executive decision making and the 'frames' that an executive uses in that process (Bolman and Deal, 1991, 2014) their perspective of and orientation to their work gradually shifts from their previous function-based concerns (e.g., cataloging, public services, etc.), to more broad-based administrative concerns. To the shift in identity that occurs when TMT members are involved in strategic issues, one respondent noted, "I call

myself a librarian, but I do more administration.” This person cited a rather large strategic issue that impacted the library on a variety of levels, financial, symbolic, and operational, etc. and her role as project manager. A TMT member’s weaning from -- as one respondent characterized it -- the ‘fun’ of domain-based library work to administration was cited repeatedly as challenging. Indeed some individuals make the transition more gracefully and effectively than others. Some never fully succeed in making the shift from a domain -based view of the world to one that concerns the good of the organization at large.

In one organization, a TMT member was recruited who possessed a background in change management to come into the organization at a time when the library was undertaking reorganization. This individual cited her skills working in organizations of many types and sizes, and particularly with institutions other than libraries as strengths she brought to the TMT at a time that the organization was undergoing a change in culture, design and function. She viewed her appointment to the library’s leadership team as strategic.

The CEO relies on the TMT for information that is critical to decision making. As one CEO noted, “When you are a director, frankly that is what you do: you fix things. It is not about power and glory it is about fixing things. That is partly team building, partly picking a strategy, assessing the information available and making a decision.” Information is critical to the CEO being able to carry out this function and the TMT serves a useful role in this regard. A similar observation came from a TMT

member who observed, “The Dean hears from all, but if there is not full consensus he is prepared to make a final decision, and that is great.”

Thus, the TMT functions as a front line source of information that helps the CEO make informed choices. The information TMT members offer regarding a specific strategic issue is balanced by the innate experience and wisdom the CEO brings to the job, his/her education, relationships, and other rationally-bounded factors that are in many cases not explicit or knowable by others. (Lawrence, 1997). As one CEO noted, “You never have enough information, sometimes you have to just learn to trust your gut.”

Dynamics Within the TMT

The working dynamics within top management teams in this study suggested a high degree of emotional intelligence (E.I.) was at work; E.I. is a characteristic identified by Kreitz (2009) as being an important attribute that future library executives should possess. TMT members cited with frequency their ability to seek consensus on issues brought before them by the CEO or others even when there was disagreement. In examining innovation leadership, strategic fit, and firm performance, Carmelli, et. al, (2010) observes, “when there are high quality exchanges among members, this indicates there is harmony within the organization. Strategic fit is all about an organization that is in harmony with the external environment. We suggest that there is an overlap between what is happening within the organization and between the organization and its external environment.” (341). Co-citedness, or agreement on issues of strategic importance and agreement or

consensus on strategic decision outcomes may be indicative of the presence within the leadership team of the high-quality exchanges Carmeli cites above.

Reflecting a slightly different aspect of TMT alignment, a top manager from a public institution touched on the importance of being aware of the library's strategic agenda but also managing the work within his portfolio, including obtaining the resources to carry out projects. He observed, "we take an egalitarian approach [to our interactions with each other], I don't want to step on toes but I have a clear vision of what I need to do." A TMT at another institution touched on the interpersonal aspects of shared decision-making that occurs within the TMT noting, "some decisions are easier than others, we each have very strong opinions." She observed that, "in some cases there will be strong agreement on an issue and a strategy for moving forward and then it will be met with resistance' which speaks to one of the challenges associated with TMT and middle management interfaces. To this challenge, one TMT member added, that even though there was considerable 'transparency' in a reorganization project, "some staff members were still left grumbling and unsatisfied."

Team Building and Executive Discretion

Team building is a critically important aspect of a CEO's job. Leaders of organizations take great care in selecting individuals for TMT positions based on a variety of factors that range from choosing individuals who can manage functional areas well to those who can assist the CEO in managing particular aspects of the

library or its position within a busy and often competitive university environment. Still there are those who are recruited because of their familiarity with the university or their knowledge and experience in the private sector. The CEO exercises executive discretion in choosing a team that comprises the right mix of lieutenants, captains and advisors who can provide the right balance between maintaining business continuity and introducing innovation. A CEO's criteria for selection of TMT members can be both transparent and opaque. The demographic distribution of TMT members, their time in tenure, and promotion from within reflects ways in which CEOs are attempting to strike a balance between TMT members who run the day-to-day operations and those who bring KSAs that enable the library to think differently--and often strategically--about the kinds of services it might offer in the future.

The Effect of TMT Portfolio Changes

With the onset of the recession beginning in 2008 some libraries underwent budget reductions that resulted in staff reductions, library departments being eliminated, merged with others, and in some cases entirely new units being created. The effect of this on top managers interviewed was noted. For example, when a TMT member 'inherits' a new unit or operation as a result of departmental consolidations, it requires the manager to provide new and sometimes additional oversight of these new portfolio assets. While additional or new oversight responsibilities may on the one hand provide TMT members with an expanded knowledge of valuable library operations and programs, the added responsibility may also limit the time a TMT

member has to work closely with the CEO on projects of strategic importance, projects that would help the TMT member develop the experience and knowledge needed to move into executive leadership circles.

CHAPTER 6: CONCLUSION

Introduction

This chapter opens with some general observations on the 21st century library environment, followed by a review of evidence to support the central thesis of this research, that top managers are being 'brought along' to assume executive level positions through on-the-job involvement with strategic decision-making. A discussion of new questions that this study raises follows as does mention of some of the limits of the study. Last, suggestions for future work are covered that extend the inquiries in this study into new scholarly realms.

The 21st Century Library Landscape

Libraries are operating in times of rapid change: information as a commodity is moving from the tangible to the intangible, from the physical to the virtual, from public to provisional. 'Business as usual' has been disrupted by the changing global demographic characteristics, behaviors and expectations of an increasingly diverse, consumer-savvy, networked, clientele. Libraries are running to keep up with these dizzying changes and the organizations in this study reflected this sprint: Missions and goals are being re-examined, strategic plans are being written, organizations

themselves are being deconstructed and re-envisioned with the hope they will contain the elements needed to adapt to societal changes and changes within the academy (e.g., multi disciplinary research, new modes of teaching, flipped learning models, etc.). It is no easy task, and as the tensions from these realities were discussed by top managers and CEOs I couldn't help to wonder how the organizations in the study would know when they had gotten it right. Maybe observations by several of the CEOs I spoke with sum it up: "We measure success when we don't get complaints from faculty." Yet, I couldn't help sensing that behind this answer was looming a much larger set of issues connected to how the library defines itself in the future, how it preserves market share in the face of rising competition, and how it expresses utility to critics both within the academy and beyond who -- perhaps because libraries have not been especially good at proclaiming in effective ways the wonderful services they bring to the academy -- cast an increasingly skeptical eye on libraries' value proposition. While answers to the 'how do you measure success?' question showed great variability -- that ranged from counting things (transactions) to the use of alt-metrics that gauge how scholars have benefitted from using resources subscribed to or provided by the library -- there was very little agreement on strategic things libraries are doing to move outside of comfort zones and to stretch to align with academic programs and advance in scalable ways with big academic initiatives. Equally puzzling, given the graying of the profession and the imminent retirement of a sizable cohort of top executives, was the relative de-emphasis of leadership development as a specific strategic priority. Given the whirlwind of change that surrounds libraries today,

there was a surprisingly little mention of innovation, specifically game changing things libraries were doing to reach beyond themselves to align in significant ways with academically impactful, politically advantageous, financially rewarding high level strategic agendas.

Evidence of Leadership Development

In spite of these conditions, the top managers in this study were able to clearly articulate issues of strategic importance. And, there was progressive, and I believe significant evidence to support the claim that TMT members do agree on issues considered strategic, that TMT members and CEOs on occasion also agree on these issues, and through rankings of satisfaction, influence and promotion we can say there exists within the TMT CEO nexus a favorable degree of alignment in strategic vision, which, is a strong indicator that TMT members are being progressively 'brought along' to assume leadership positions in academic research libraries.

Further evidence that supports a culture of bringing along top managers in the libraries in this study is found in the overwhelmingly high number of CEOs and TMT members who stated they had benefitted from the wisdom and guidance of mentors. A topic for future research is the extent to which these mentors have left an indelible and lasting influence on CEOs (and TMT members in general for that matter) such that they are inclined, even possibly predisposed to guide and groom aspiring top managers for executive positions. An additional piece of evidence to support the assertion that top managers are being brought along comes from the

ways in which TMT members describe their roles in the strategic decisions they discussed⁹ which are indicative of roles that one would expect to find in the executive office.

As this study shows, the CEO blends the knowledge, skill and ability found within the top management team with advice provided by various 'consultants' from within and outside the library to inform decision making and strategic direction. One could argue that the lines are becoming increasingly blurred between the roles and responsibilities of those who in past traditionally made up the TMT and those who are increasingly being called into service on strategic issues libraries face. Indeed, the increasing complexity of issues that come before the CEO requires that he /she draw upon an expanding array of experts whose views on legal (copyright), human resources, financial/budgetary, and external issues provide a CEO with the information needed to assess risks and calculate benefits associated with strategic decisions. Indeed, this study found that CEOs consult with a broad range of actors (TMT and non-TMT) when gathering the information they need to make a strategic decision.

⁹ Some of the roles TMT members described playing that reflect a turn toward the executive office, include: "represented the library"; "point person with academic affairs"; "responsible for closing a branch library"; "served as a consultant for the TMT"; "was administratively and curatorially in charge"; "controlled the message to the public." These roles and behaviors are aspects of what a CEO does. Their presence as characteristics within the TMT suggests a culture of executive administration is being developed and cultivated.

Dispersed Expertise

The roles that consultants, infrastructure specialists (e.g., facilities managers, etc.) and public affairs experts play will be increasingly important in future. Their presence in several of the libraries studied suggests a desire for the library to connect in meaningful and productive ways with both the broader infrastructure on university campuses, and to individuals, organizations and publics in communities outside the university proper. As one TMT member noted, “It is time for libraries to stop naval gazing. Libraries need fresh, outside views. The information world is competitive. To compete requires a new way of thinking and a new business model. It is not enough to claim that key role of libraries lies in supporting teaching and learning on campuses. These are becoming tired tropes.” How will the TMT of the future expand its collective knowledge, skill and expertise to reach beyond itself as it builds capacity for the future?

New Questions

In answering the central question of whether CEOs are bringing along top managers to assume executive leadership positions, new questions arise that invite future research. For example, if CEOs are in fact bringing along tomorrow’s executives, are they bringing them along in ways that reflect the changing landscape of user expectations, the disruptive effects of technology, or the types of organizations the next generation of leaders will lead? To what extent are the visions of today’s CEOs

'bounded' (Hambrick, Mason, 1984) by repertoire and schema ¹⁰ drawn from 20th century experiences and situations? What might be the effect of these forces on a CEO's ability to set a vision and agenda for the future? In other words, if CEOs can only expose TMT members to management and leadership practices that they themselves have lived, will these frames of reference – as wise as they may be – have the same resonance, value and relevance for the next generation of library leaders?

Additionally, an executive's 'time in tenure' and indeed a top management team's time in tenure may both be factors that affect a top management team as it thinks about the future. Research shows, "that a top team's tenure in an organization affects (and serves as an approximation for) the team's commitment to the status quo, its informational diversity, and its attitudes to risk." (Finkelstein, Hambrick, 1990, p.486). The argument is that 'team tenure is expected to affect organizational outcomes.' The theory further states that, "organizations that are led by long-tenured CEOs and top managers will tend to have: 1) "persistent unchanging strategies, 2) strategies that conform closely to averages, and 3) performance that conforms to industry averages." (ibid., 486). Libraries thinking about planning for the future may wish to take into consideration these variables.

¹⁰ A schema, according to Hambrick and Fukutomi, 1991 (and Kiesler & Sproul 1982; Lord & Foti, 1986) "is the preexisting knowledge system that a manager brings to an administrative situation. It includes consciousness and unconscious preconceptions, beliefs, inferences and expectations." (Hambrick & Fukutomi, 751). Repertoire refers to an executive's 'supply of skills, devices, or expedients' used to address issues drawn from prior experiences. Together, "a CEO's schema and repertoire form his/her paradigm, or model of the environment, the organization, the CEO, and the interconnections among these." (ibid, 722)

For CEOs whose tenures are extended, is there a moderating role that a TMT might play to attenuate or limit the effects of long tenure? In other words, even if a CEO is challenged to take risks, seek out new sources of information and develop strategies that don't conform to industry averages, can a TMT that contains a demographically diverse membership moderate, counteract, or compensate for these characteristics in ways that encourages that organization to take risks, experiment and perhaps shape itself to be in close alignment with future academic programs and customer expectations?

A related concern, surrounding the concept of 'bringing along' aspiring managers to assume executive positions, is that some TMT members may not aspire to become CEOs. Indeed, several participants in this study expressed this sentiment. What then? If a CEO has a sense of those within their TMT who aspire to become executives, how does that knowledge affect work assignments, or the extent to which those TMT members work with the CEO on strategic matters?

Finally, as long-tenured top management teams and particularly CEOs recruit younger managers to diversify the TMT and bring fresh perspectives to the team and to strategic thinking -- perhaps with the assumption that this diversity will be more in alignment with the demographic characteristics of students -- there is no guarantee that these individuals will in fact aspire to assume executive leadership positions. As Lyons, et. al. (2012) observe, "younger generations change jobs and employers at a greater rate than previous generations and that they are more

willing to accept non-upward career moves.” (p. 333) He bases this assertion on the emergence of new career patterns that have replaced the traditional ‘age and stage’ theory (Super, 1957) of career development, in which an individual moves through an explorations stage, an establishment stage, a maintenance stage, and finally a disengagement stage. Lyons asserts that, “broad environmental changes such as globalization, technological advances, increased workforce diversity, the increased prevalence of knowledge-based work and trends toward outsourcing and the use of contingent workers have created conditions that have rendered traditional career paths outmoded.” (p. 335) The emergence of flatter organizations in which traditional upward mobility is limited has meant there is less of an opportunity for individuals to move up within a company. Lyons notes, “the psychological contract has changed from one that is based on long-term employment to one that is based on employability.” (p. 335)

What do these new models of employability look like? Two metaphors emerging from recent research used to describe ways in which the younger generation of workers is seeking employment are the ‘boundary less’ career model (Sullivan and Baruch, 2009) and the ‘protean’ career model. (Hall, 1976). The protean model states that ‘linear careers would give way to self-directed careers focused on psychological satisfaction.’ Psychological satisfaction would be achieved by individuals experiencing ‘multiple iterative micro-cycles of exploration, trial, establishment and mastery as the individual acquires new skills and competencies across the life span.” (p. 336). The boundary less career model (so named in that it is

in direct opposition to traditional bounded movement one follows up through a hierarchy), “may reflect a variety of different meanings, including movement between different employers, drawing career validation from outside one’s employing organization (as in the case of academics) reliance on resources external to one’s organization in order to do one’s job, or focusing one’s career goals toward one’s family life rather than organizational goals” (p. 340).

While research has not found that modern career types have replaced traditional ones, it points to socio-cultural differences that institutions should be aware of that are found within particular cohorts including Gen-Xers and Millennials (such as their tendency to change jobs frequently early on in their careers, their tendency to move into lateral positions that provide rewards (versus upward movement in an organization), and the high value they place on work-life balance. These generational characteristics may be important considerations for CEOs as they configure top management teams to address strategic issues and as they do so with an eye to developing team members to assume executive positions.

Finally, if CEOs are bringing along TMT members to assume positions of leadership in institutions, at what point does this work reach fruition? In other words, is there a point in the grooming and bringing along process that a TMT member reaches the point of readiness to take on the role of a CEO? What are the signs that this point has been reached? What does a CEO do in a case when a TMT member has ‘hit the ceiling’ and needs to move up and out? What does a CEO do (and indeed a TMT

member do) when a TMT member has hit the ceiling and begins to operate as an 'autonomous baron' ? What indeed, does a CEO do when multiple members of the TMT reach this point? These are clearly concerns that require study as we think about developing top managers' skills, knowledge and ability to take on executive leadership in tomorrow's academic libraries.

Limits to the Study

There are several limits to the present study. While the data provided by the six participating institutions and the 34 individual participants in those institutions is richly informative, it would be useful to survey a larger number of institutions to test the findings. A survey based on several key findings of this study could serve as the basis for querying, for example, CEOs and top managers in ARL libraries, and/or in libraries in private college consortia.

The second limit to the study is that while some differences between public and private libraries were observed (i.e., size of the top management teams, differences distribution of strategic issues by type, etc.) these differences did not appear to be significant regarding the extent to which top managers were being developed. A larger data sample is needed to more fully understand if there are substantive differences between public and private libraries on the issues examined in this study. Lacking this, it is difficult to draw broad conclusions about similarities and differences between public and private organizations.

Future Work

The findings of this research suggest the need for future work in several areas. First, while this study focused on the decision-making processes operative within the coalition of top managers, it would be interesting to conduct a follow-up study that probed how, if, and when CEOs turn to top managers for advice versus relying on their own innate leadership paradigms (schema and repertoire). In this line of inquiry it would be interesting to know what specific attributes (KSAs) CEOs look for in aspiring managers, and criteria CEOs use to rate progress of a top manager in his/her development. Related, it would be interesting to know what triggers CEOs to turn from the TMT to external advisors for counsel on strategic matters, and if this turn is a normative behavior, and strategies the CEO uses to keep the top management team informed, involved and engaged when working with external actors.

Further work is also needed on how libraries measure success. This research found that current measures of success vary considerably. It also found that there is a great deal of interest in this topic. Indeed, some institutions in this study are developing new ways of measuring impact, value and worth through the development of alternate metrics that look beyond transaction counts. This work is promising and suggests the need for a more in-depth study into this question in the future.

Finally, as this research found considerable interest among top managers in re - envisioning and reorganizing libraries to meet future challenges, it would be useful to know what factors are driving organizations to consider one type of organization design over another, what the performance expectations might be of these new designs, including the KSAs leaders in these organizations will need to possess to be successful. Do they differ from the skills of today's managers?

As CEOs and their top managers continue to develop the administrative capacity to address strategic issues on the horizon, it is quite likely that they will develop new ways to measure the impact that their organizations are having on the university. New ways of assessing impact will become important and will likely take into consideration a wide range of activities, services, and interactions of library personnel. These aspects will necessarily be closely tied to strategic goals and initiatives. For this reason the cultivation of leaders is critically important. Astute, skilled leaders will be needed to bring along programs and practices that have proven to be essential in supporting teaching, research and learning on campuses. But they must also be capable of thinking broadly and creatively about issues that are strategically important for the library as it seeks to position itself to meet the changing needs of those it serves and those with whom it collaborates. As this research has shown, leadership development is a dynamic process, and it is taking place within the top management teams in public and private institutions examined in this study. Time will tell, however, if the skills and knowledge that top managers

are acquiring today will prepare them fully for the roles that they will be expected to play in tomorrow's knowledge economy.

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APPENDIX 1.

Recitals, Consent to Participate, Interview Schedule, Questionnaire

Recital for Interviews with Library Directors

Thank you for meeting with me. Let me explain more fully the goals of the study. I am interested in the decision-making role of people who form your top management team and the process of strategic decision-making. Thus I need to know who the team members are, how the team works together as a group, what some of the major strategic decisions are that have been addressed over the past two years, and the processes that emerged in making these decisions.

I will have some questions for you and for members of your top management group. Most of these are open-ended.

Please note that at any time you may decide to withdraw from this study or not answer the particular question.

I seek your support in interviewing members of your top management group. These interviews will emphasize the strategic decision process. Is that agreeable to you?

Once all the interviews for this library have been completed I will send a questionnaire to each member of the top management team, including you. The questionnaire will ask questions on the same issues that will emerge in this interview. These data also will be confidential.

Data collected through all interviews, including this one, and through the questionnaires, remain confidential. All identities of institutions and people participating in this study will be confidential. I am the only person who will see these data.

Your consent to participate in this research is important. Let me address any questions you may have and then seek your permission to proceed.

Recital for Interviews with Top Management Team Member

The University Librarian has identified you as a member of his/her top management team. I have asked the University Librarian to inform the members of the library's top management team about the study and to ask for the participation of each member. Participation is entirely voluntary and the university librarian will not be

informed as to who on the top management team has agreed to participate or has not agreed.

I am seeking your consent to participate in my research study on strategic decision making in university libraries and the roles members of the top management team play in that decision making process. No libraries will be identified in this study and no person who participates in this study will be identified.

Consent to Participate in Research
Top Management Team Member

Pilot Study of Top Management Teams in Academic/Research Libraries

You are asked to participate in a research study conducted by Mark Roosa, PhD candidate in the Graduate School of Education and Information Studies (GSEIS) at the University of California, Los Angeles. You were selected as a possible participant in this study because have been identified as a member of the top management team in the university library.

Why is this study being done?

This is a study of strategic decision making in university libraries and the roles members of the top management team play in that decision making process.

What will happen if I take part in this research study?

If you volunteer to participate in this study, the researcher will ask you to answer questions relating to decisions made in the library over the past several years, who participated in the decisions, and how the need for the decisions came to the attention of the library. The interview can take place in your office or in another agreed-upon location. Following all of the interviews undertaken in the library, the investigator will send each respondent a short questionnaire about specific decisions that emerged from the interviews.

How long will I be in the research study?

Participation in the study will take a total of about 2-3 hours over a period of several weeks.

Are there any potential risks or discomforts that I can expect from this study?

There are no anticipated risks or discomforts.

Are there any potential benefits if I participate?

You will not directly benefit from your participation in the research.

Will I receive any payment if I participate in this study?

You will receive no payment for your participation.

Will information about my participation and me be kept confidential?

This is an organizational study and so data will be analyzed in order to get organizational scores. No individual data will be reported; all individual data will be and will remain confidential. Only the P.I. will have access to the data and the data will be kept in his home office. Institutions will not be identified by name. They will be disguised and described only in broad terms, for example: “a library serving a major public research university.”

Withdrawal of participation by the investigator.

The investigator may withdraw you from participating in this research if circumstances arise which warrant doing so. If you leave the library you may have to drop out, even if you would like to continue. The investigator will make the decision and let you know if it is not possible for you to continue.

What are my rights if I take part in this study?

You may withdraw your consent at any time and discontinue participation without penalty.

You can choose whether or not you want to be in this study. If you volunteer to be in this study you may leave the study at any time without consequences of any kind. You are not waiving any of your legal rights if you choose to be in this research study. You may refuse to answer any questions that you do not want to answer and still remain in the study.

Who can answer questions I might have about this study?

If you have any questions, comments or concerns about the research, you can talk to the principal investigator, Mark Roosa at 310-506-4252 or mark.roosa@pepperdine.edu.

If you wish to ask questions about your rights as a research participant or if you wish to voice any problems or concerns you may have about this study to someone other than the researcher, please call the Office for Protection of Research Subjects at (310) 825-7122 or write to the Office for Protection of Research Subjects, UCLA, 11000 Kinross Avenue, Suite 102, Box 951694, Los Angeles, CA 90095-1694.

Signature of Study Participant

I understand the procedures described above. My questions have been answered to my satisfaction, and I agree to participate in this study. I have been given a copy of this form.

Name of Participant:_____

Signature of Participant: _____

Signature of Person Obtaining Consent

In my judgment the participant is voluntarily and knowingly giving informed consent and possesses the legal capacity to give informed consent to participate in this research study.

Name of Person Obtaining Consent: _____

Signature of Person Obtaining Consent: _____

Date: _____

Interview Schedule

1) Organizational structure

I have looked at the library's web site where I found this organizational chart.

(SHOW CHART TO LIBRARY DIRECTOR/TOP MANAGEMENT TEAM MEMBER)

Does it reflect the current organizational design of the library?

Yes _____ No _____

If no, what changes are there?

2) Top Management Team members

a) Are these people the current members of the top management team? (point out people on the chart IF NAMES ARE THERE).

Yes _____ No _____

b) IF NAMES ARE NOT THERE: ASK: Who are the members of the top management team?

c) Are there other members of the team not identified here?

Yes _____ No _____

If yes, who are they?

d) Does membership in the TMT vary depending on the strategic issue involved?

Yes _____ No _____

If yes, can you elaborate?

3) Strategic decisions

- a) Please identify 2 of the most important (strategic) decisions made for the library during the past three years:

1) _____

2) _____

- b) For each of these, I am interested in: (a) how the issue came to your attention, (b) who participated in the decision process, (c) how the process worked, (d) was supporting documentation provided, (e) what role you played in the process, (f) how satisfied you were with the outcome, and (g) if there was agreement among the decision makers on the final decision.

So I will ask you these questions about each issue (or strategic decision).

ISSUE #1:

- a) Can you tell me how the issue came to your attention?

Possible probes:

External campus e.g., VCAA
Your own recognition of the problem
A member of the TMT brought it up
An unexpected event occurred
A change in the technology occurred
An issue before the profession
Brought up in another library

- b) Who participated in the decision process?

Possible probes:

All TMT members?
Staff with specific functional responsibility?
Staff with specific expertise?
People outside the library?

- c) Can you describe how the process worked?

Possible probes:

recruited and mentored you, your description of your main functional area, and the key assets (e.g., skills, knowledge) that you feel you bring to the job and ones that you would like to develop.

Can you tell me:

- a) How long you have been in your present position? _____ (years)
- b) How long have you worked in this library? _____
- c) How long have you been in librarianship? _____
- d) Who hired you into your current position? _____
- e) What is your terminal degree? _____
- f) Do you or did you have a mentor? _____ Who _____

What do you consider to be your main functional area?

Probe: Administration
Information Technology
Digital Library Mgmt.
Public service
Scholarly communication
Technical services
Assessment
Collections
Fundraising
Personnel/HR

Specialized by type of subject, e.g. Law, Medicine

Specialized by type of client, e.g., undergraduate, graduate

What key assets (e.g., skill, knowledge) do you feel you bring to the job? Which assets would you like to further develop?

In two or three sentences please describe the top strategic challenges that your library will face in the next 3 years.

Follow Up Questionnaire

Questionnaire

Each strategic decision identified from the interviews will be the focus of the series of questions that follow.

1. **Strategic decision A:** _____

a) How did this decision come to the attention of the library?

_____ university administration

_____ an issue before the profession

_____ an unexpected event (please describe)

_____ member of the Top Management Team

_____ university librarian

_____ brought up in another library

_____ change in technology required it

_____ other (please describe)

b) In your opinion was the process used by the library appropriate to the decision?

Yes _____ No _____ No Opinion _____

Comment:

c) Who participated in the decision? _____

d) Did one person dominate the decision-making process?

Yes _____ No _____

If yes, in your opinion was this appropriate? _____

Is it typical? _____

e) For this decision please rate your influence on the specific strategic decision

1	2	3	4	5	6	7
No influence			moderate influence		total influence	

Why did you rate yourself that way? _____

Did influence occur in meetings or outside? _____

2. **Strategic decision B:** _____

a) How did this decision come to the attention of the library?

_____ university administration

_____ an issue before the profession

_____ an unexpected event (please describe)

_____ member of the Top Management Team

_____ university librarian

_____ brought up in another library

_____ change in technology required it

_____ other (please describe)

b) In your opinion was the process used by the library appropriate to the decision?

Yes _____ No _____ No Opinion _____

Comment:

c) Who participated in the decision? _____

d) Did one person dominate the decision-making process?

Yes _____ No _____

If yes, in your opinion was this appropriate? _____

Is it typical? _____

e) For this decision please rate your influence on the specific strategic decision

1	2	3	4	5	6	7
No influence		moderate influence			total influence	

Why did you rate yourself that way? _____

Did influence occur in meetings or outside? _____

Final question:

Below is a list of Top Management Team members and their titles. Please indicate the amount of influence each of these executives generally had in affecting the outcomes of each of the types of decisions listed below.

For example:

Strategic issue A: Major resource allocation decision

Executive #1: John Doe, Associate University Librarian for X

Influence rating for Executive #1:

1	2	3	4	5	6	7
No influence		moderate influence			total influence	

Executive #2: Jane Doe, Associate University Librarian for Y

Influence rating for Executive #2:

1	2	3	4	5	6	7
No influence		moderate influence			total influence	

(Etc.)

Strategic Decision A: _____

Executive #1 (Name and Title): _____

Influence rating for Executive #1:

1	2	3	4	5	6	7
No influence			moderate influence			total influence

Executive #2 (Name and Title): _____

Influence rating for Executive #2:

1	2	3	4	5	6	7
No influence			moderate influence			total influence

Executive #3 (Name and Title): _____

Influence rating for Executive #3:

1	2	3	4	5	6	7
No influence			moderate influence			total influence

Executive #4 (Name and Title): _____

Influence rating for Executive #4:

1	2	3	4	5	6	7
No influence			moderate influence			total influence

Executive #5 (Name and Title): _____

Influence rating for Executive #5:

1	2	3	4	5	6	7
No influence			moderate influence			total influence

Decisions (examples):

- 1) Major resource allocation decisions, e.g., budget issues

List each executive: Influence rating:

- 2) Organizational design issues, e.g., changes in formal structure or selecting and assigning executives

List each executive: Influence rating:

- 3) Entering into or withdraw from a major cooperative arrangement with another library or agency.

List each executive: Influence rating:

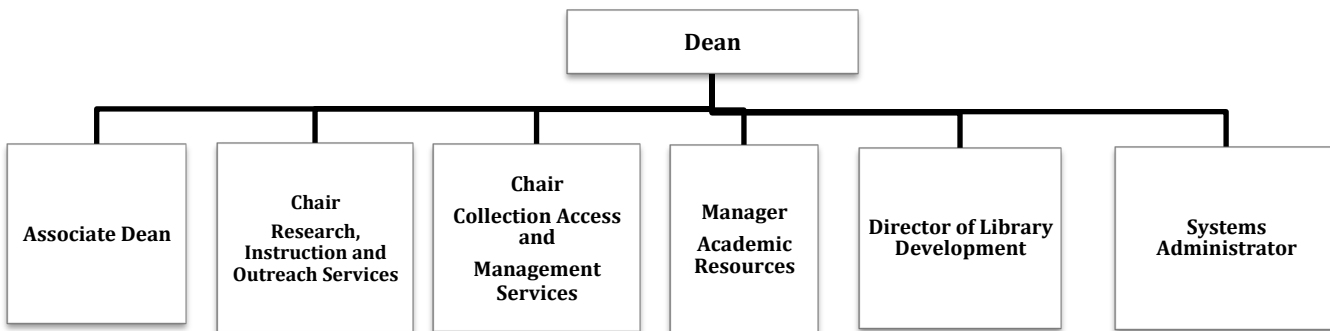
I very much appreciate your participation in this study. Please let me know if you have questions or comments.

Return questionnaire to: Mark Roosa
Dean of Libraries
Pepperdine University
24255 Pacific Coast Highway
Malibu, CA 90263-4786

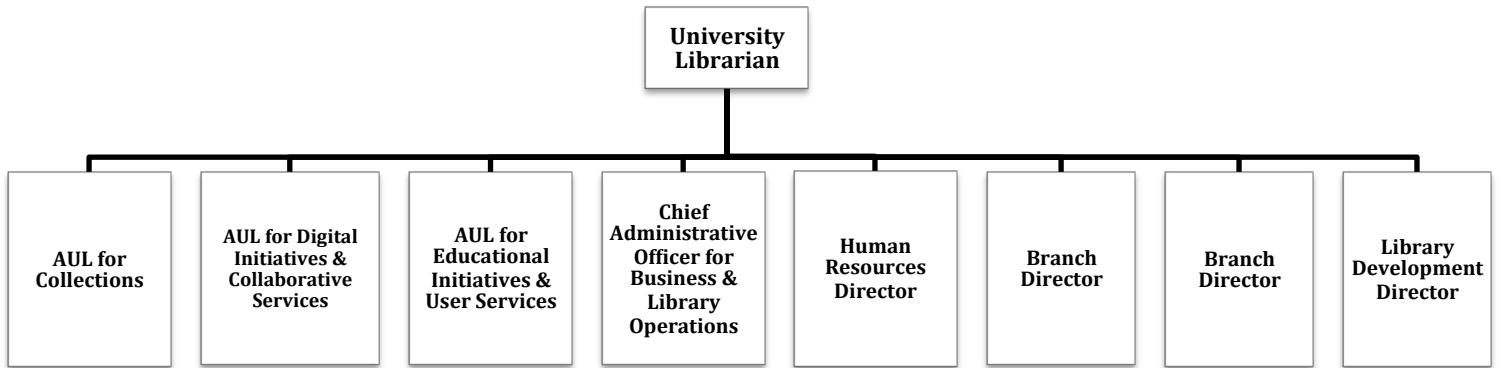
APPENDIX 2.

Organizational Diagrams

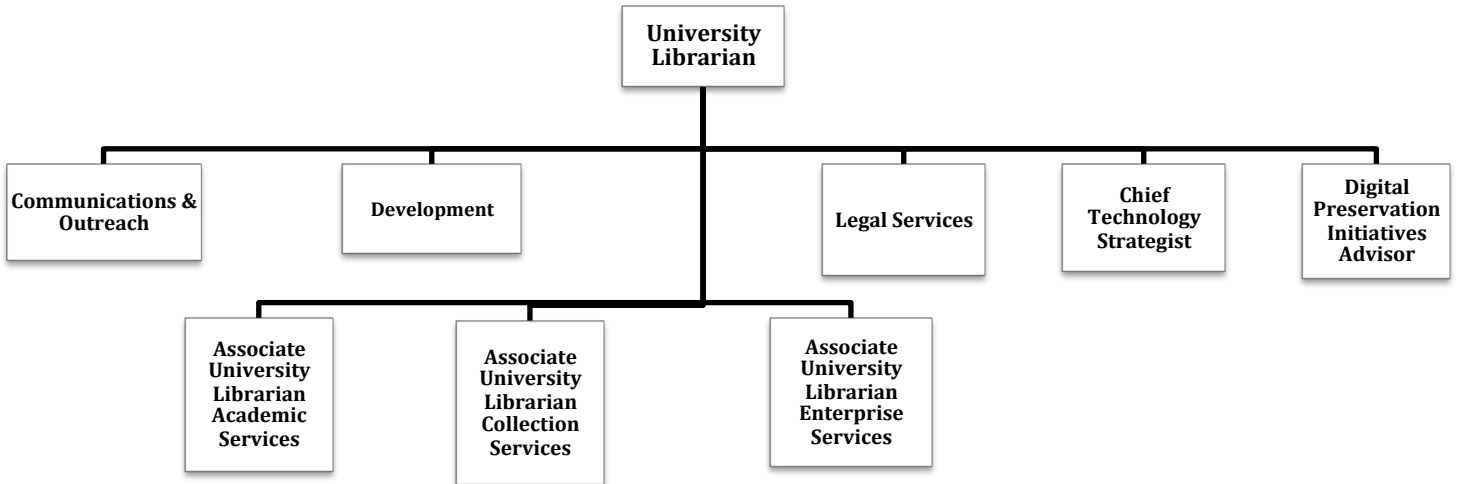
Public A:



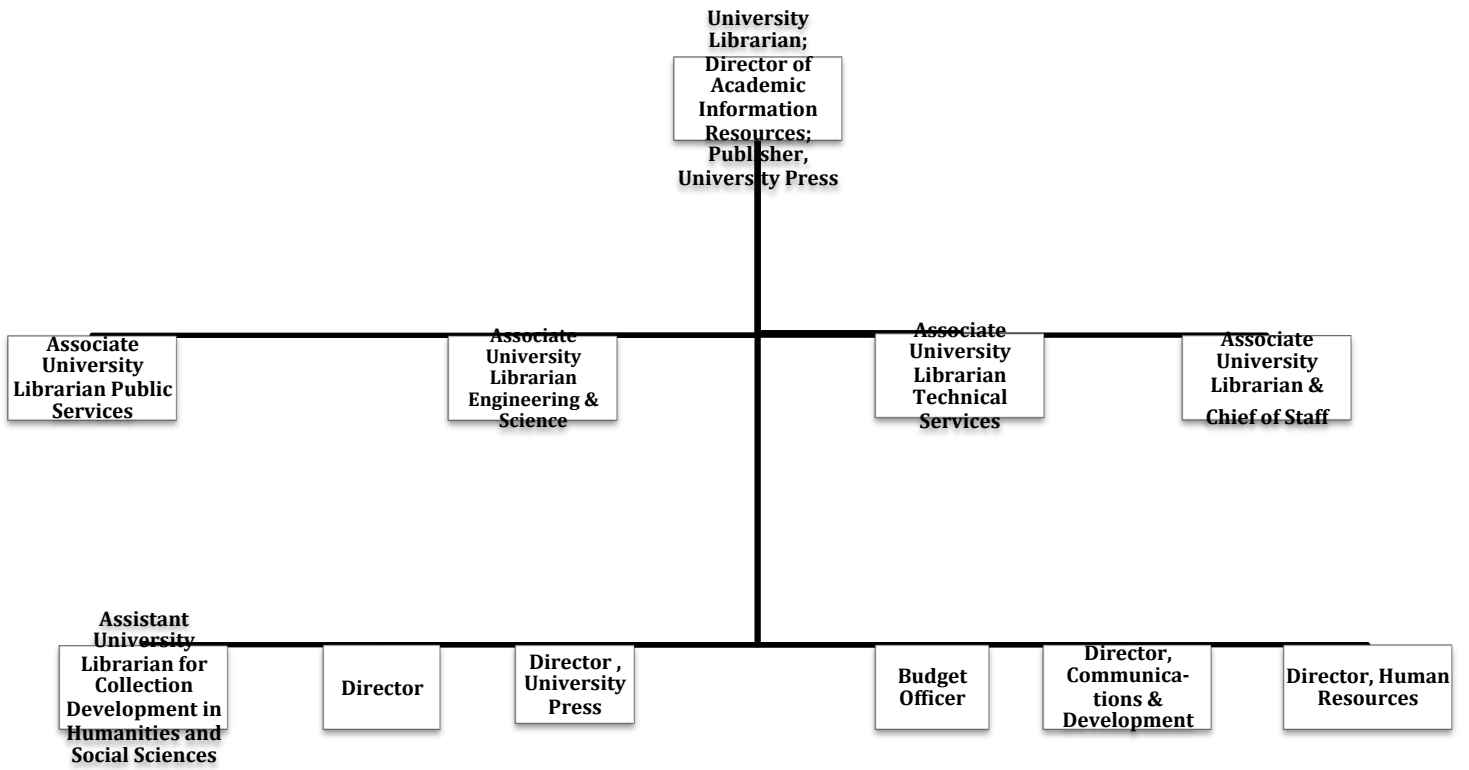
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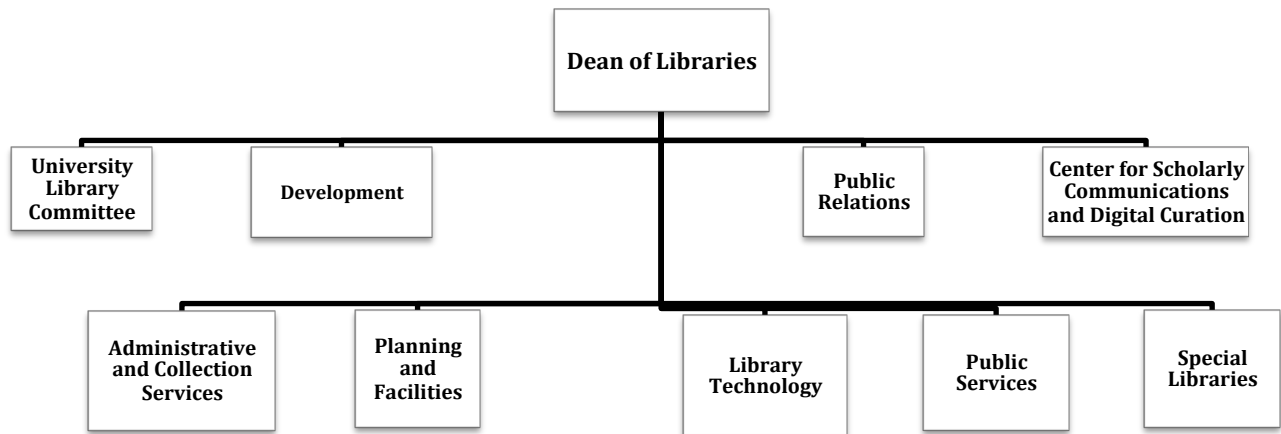
Public C:



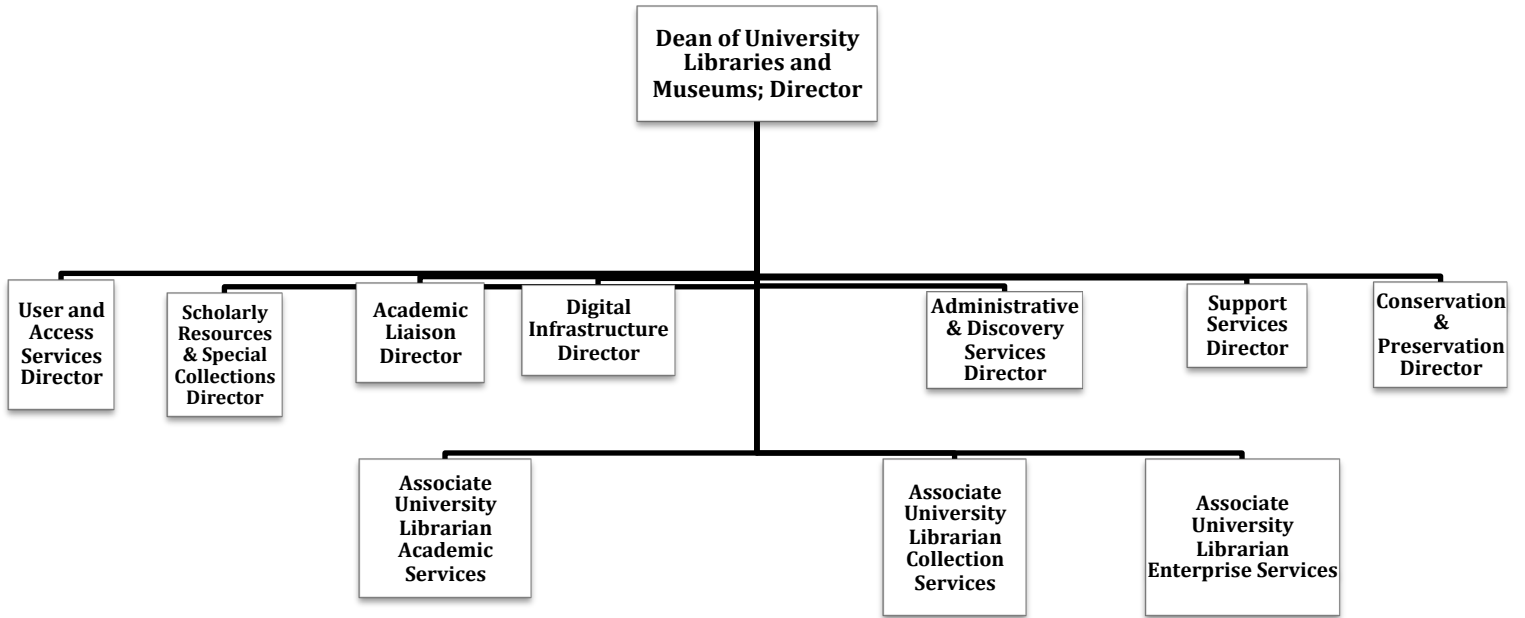
Private A:



Private B:



Private C:



APPENDIX 3.

Measuring Organizational Success

CEOs and TMT members - Complete Responses

Institution a.

1. CEO - Continue to use old inputs and outputs (transaction statistics); they are good indicators, but losing significance in terms of telling the story of how the library has an influence on student success. (the direct implication here is that the success of the library is closely tied to student success, not other drivers, such as having a comprehensive collection of X, etc.) Others: qualitative data gathered from surveys (LibQual and locally created surveys) increasing more useful; challenged to but interested in gathering quantitative data around student success linked to library use. Later will hope to carry out longitudinal studies that track student success over time with regard to library.

2. Benchmarking, state university system data, comparison with peers, relational data; acrl survey data; use software and off-the-shelf products to compile statistics; data points tracked include staffing, hours, etc. professional level expectations are benchmarked; leadership activities; even though not an ARL library, they track ARL trends, statistics and current issues that reflect interest within the ARL community

3. Metrics need to be tied to local performance issues. How does a metric tie directly to patrons; what is the local student population saying about the library. Metrics vary by things that students are required to do in the library (IL instruction) versus ways in which the library adds value to students' work by their choice.

Institution b.

1. (CEO): Physical use of library is an important metric. If people are using the library in various ways it is a 'sign of vitality.' Metric: people voting with their feet. Should students shun libraries and flock to social clubs and unions would be a bad thing.

2. Pay attention to ARL stats and library rankings. Commission report went into assessment. One of the difficulties was that different metrics and rankings are used by all of the libraries. No agreement. Faculty member in a dept. wants to know why the library isn't number one. Peer comparisons with other state libraries.

3. Well we have the ARL statistics. Within the past decade faculty and others have become aware of them. They haven't quite caught up with the digital world, but they can be helpful. Gate counts, dollars spent are tracked at most UCB libraries and they can be 'helpful'. "Don't know if we are really very good at knowing how we are supporting student learning or helping faculty with their research." Were we to develop metrics to track this that would be a significant new direction for us." We

have talked about hiring an assessment librarian. Have talked about this with other TMT members; we would like to do this. New job descriptions have written into them an assessment piece.

4. The re-envisioning exercise we looked at other institutions. Faculty really want to hang their hat on ARL data, but the library faculty are increasingly skeptical of whether the ARL stats are useful metrics to assess how impactful libraries are in the lives of students and faculty. ‘No one wants to fall in rankings’ but there are other factors to consider. We look at the ARL stats because the faculty have adopted these metrics, in fact we spend a good deal of time explaining to our faculty that the ARL statistics don’t tell the whole story, it is a more complex and nuanced picture than what the rankings and pure numbers show. We want to ask a lot of other things for example, for those who spend time in the library, how does that affect academic performance. How are we doing? How are we contributing, these are the key questions we should be asking. Counting things simply doesn’t tell the story. Institutes count things in different ways.

c.

1. (CEO): We have and currently make great use of ARL stats, and a subset of ARL institutions that our university uses for comparison. During budget crisis we looked at how many library dollars per student were being made available. Looking at longitudinal comparisons regarding percentages spent on say collections or staff; keep track of all transactions. Digital metrics (from vendors) tweets, retweets, TV channel (program downloads) newsletter, downloads of articles.

2. Compares materials budgets with other peer institutions; ARL staffing metrics were consulted during redesign process to understand what was a reasonable staffing level. Also looked at materials and staffing was especially important as we looked at reducing collection size. Size is important to support certain disciplines.

3. In past pretty mundane. Now we look closely at how much we are spending (within the state system and across US) depending what we are looking at on collections and staff. We look at ARL stats. And we invest a lot in compiling these numbers, but more and more we are looking at other metrics, usage of facilities, services, resources. We’ve collected for years these data that show visitors, transactions. Now we are looking at what that means in terms of the impact we are having, the integration of the library into the university. We are probably the norm, would like to come up with better ways to gauge success. Our decentralized campus makes it challenging to align with student outcomes, but we are moving in that direction.

4. Re org. has invited us to look at other institutions that have reorganized like us. ACRL collections and staffing. We have also relied on other libraries in our consortium for collections (we borrow), we look at ILL, and our buying power to fill in gaps. Now we count stuff: how do we compare what we did in the past to what we are doing now: are services different? Digging into numbers in new ways.

Private Institutions

d.

1. The library is currently in the process of coming up with a new way of doing this; a new framework. There is a lot of dissatisfaction with the current way of counting things. One component of the new way will be to better know how [the library's] resources are specifically being used by scholars.

2. [A private foundation] has given the library funding to look at some new ways of documenting the value that libraries add to the university and to academic life. We collect statistics but we probably don't deploy them very much.

3. Our work is changing and much of what we do is not reflected in any statistics. For example in my work we are asked to do mapping from one metadata standard to another that produces a huge intellectual output but no numbers that can be easily counted and compared with other institutions. Hard to tally these things.

4. (CEO) ARL stats are interesting but not definitive. Are working with [a private foundation] to develop new benchmark and assessment method and strategy. This is very interesting to provost and president. How do we measure success: we measure success by the lack of complaints. Always changing the mix of services, being innovative, addressing student and faculty needs. I have not had within 26 years major complaints; uprisings, etc. do this by anticipating needs, high level of interactions with faculty and dept. chairs, comms. On library, testing solutions before deploying them. Respond quickly when we do get complaints. "There isn't strategic planning at [our university], it is opportunistic."

5. Metrics: CEO is working on this. We don't have good metrics and rely too much on anecdotal information.

6. Metrics: I pay attention to how many items are paged per year. If you have 8-9000 items a year that is impressive. Plus the anecdotal feedback. Another variable for success is seeing the (high) volume of scholarship that is taking place with our collections by scholars outside of our institution." This speaks to our global reach. For example, 75% of our users are not from our institution. Online access to collections through finding aids is increasing this trend. Other measure of success is the increasing number of classes being taught in special collections. Another metric is the number of dissertations produced by researchers using the collections.

7. Metrics – been engaged in a benchmarking project to look at new ways to assess our success. "We've long since gotten away from gate counts and volume counts as a way of gauging success." Instead, we try to look at the level of innovative work we have done with patrons, and we try to measure our success from the feedback we are receiving from our users." We have talked about doing an annual survey; the

committee on libraries (faculty and a few students) has been a helpful sounding board; we try to look back on projects where we assess from hindsight our key successes. “having a positive impact on users, being innovative and forward thinking,...the library of the future, not the past.”

8. Metrics: CEO is working on a new way of measuring success. Council on Asian Libraries. East Asia Association also collects statistics each year. Transaction records, etc. There is some competition. Still competing with our peers using the old fashion metrics. The public is still asking for these data. Some faculty too. Who is the best? The satisfaction of the students and faculty is however the top goal. How do you measure that? Feedback from liaison librarians, faculty, etc. (Anecdotal). How many new faculty and staff are added to the library for E. Asian studies.

9. Metrics: We are in the process of looking at benchmark data. The ARL stats don't reflect how we are impacting teaching and learning. How do we measure leadership? How do we track citations of scholars using your collections. “we don't take the data at face value—we ask more questions about it.” We look at indicators that support our primary goal as being a resource for our community.” (both qualitative and quantitative) We look at the Ivy+ for transactions. We are not too big on comparative data.

e.

1. Metrics: ARL stats, web analytics, one of the new work groups is an assessment group, haven't been too involved in this yet.

2. Metrics: In public services we hired an assessment librarian to look closely at quantitative data. We established a library ombudsperson. In that group we tend to pull that info together and it goes to TMT for review. This assessment helps assess student learning. Assessment person is organized under “user experience” group, which is located under public services.

3. Metrics: have used dollars per student. This year they said ‘stop telling us that.’ We look at ARL investment index. We are at the bottom. Both are artificial. What matters most is whether the students are satisfied and faculty members are getting what they need. “The university as a whole does not value the library anywhere to the extent that our peers do.”

4. Metrics: Hoping in our new org structure to build in cross cutting way to measure effectiveness. We have looked at various data points – mostly to support budget requests. This year budget told library to eliminate old metrics (e.g., level of support per student, etc.). Comparison with peer organization libraries also not too helpful. Count and compare transactions. None of us are very happy with those measures, but that is what we have.

5. (CEO) 'Happy faculty.' I measure success by how well we are received at annual budget meetings. Measurements of success are sometimes tangible, sometimes not. I can look at funds raised, or some other things, but these are not always telling. A political success is sometimes the best success, how we are perceived, who was pleased. If the general level of complaints is low that is an indicator we are doing things right, satisfying our users. The opinion of the provost counts as well, especially when he shares positive views about the library publically and with colleagues. Success sometimes occurs when budget increases come automatically after years of arguments. [n.b. this library has not had an increase in operations in 5 years].

6. Nothing systematic. "Sudden and arbitrary" peer institution lists are flawed as no two institutions are really very much alike. Even within the CIC we are outliers because most members are large state institutions and we are a small private institution.

f:

1. Metrics: Have a formal process with very specific goals that initiatives campus wide support. The library has adopted numerous goals. Don't care about ARL statistics. We are what we are and really don't compare ourselves to others, except to get [our university] into the top 10. No one has ever asked us where we stand in the ARL rankings. We may change that now we are part of [a consortium of colleges and universities] We only have 20K students and no Law school. So far people here are happy. We are happy (and doing well).

2. Metrics: what do the people who fund us think. The schools vote with their feet by the amount of money that comes our way. Overall we have been successful in obtaining funds from schools and from the provost. We also track with ARL. It is my understanding that we use comparative data carefully to show when we are lagging. At dept. level we participate in a rigorous strategic planning process that demonstrates how the library supports university's strategic goals.

3. Metrics: what we end up using are key performance measures – they need to be revised annually – they are the basis for our budget requests. We typically put in gate count, circulation, and instruction stats. But I am not sure they tell the right story. " I have never been satisfied with the measures we use." Who knows if what was taught in an instruction session makes a difference in a student's life in the long term. Do the schools use metrics that mention/refer to the library? Work closely with office of inst. Research in terms of getting data and adding data points to their surveys.

4. Metrics: I don't like numbers. The ARL stats don't show your impact and don't give you any qualitative information. Instead we use Libanalytics that does counts of various kinds, and describe and rate the difficulty of questions answered. It can't answer for example what we have done for faculty and break it down. Need to have a better way to describe our successes; context is key to understanding the

numbers. For the 4 indicators (as related to the strategic plan) we provide numbers of sessions course related or course integrated, for example. Money spent on collections, etc.

5. Metrics: it really varies: the experience of faculty and students; for me: how much money did we raise and how did that make us stronger. Use of the library is key of course.

6. Metrics: don't think we do that well. Don't have good accountability measures.

7. Metrics: the continued funding for the library and its programs

8. Metrics: we track transactions, borrow direct and other counts, but to my mind they don't tell the story. There are micro cultures in the library and each have their own way of measuring success. CEO asks TMT to send him 'successes' at the end of the year. Though, there doesn't seem to be agreement on what that looks like."

APPENDIX 4.

Who Participated in the Decision-Making Process?

Public Institutions (n=3)

Institution a: 1-3
 Institution b: 4-7
 Institution c: 8-11

TMT	Issue #1	Who?	Issue #2	who?	P.A.?
1.	renovation (C.1)	TMT	weeding(B.5)	TMT+a	
2.	renovation (C.1)	TMT+b	weeding(B.5)	TMT+c	
3.	service assessment (A.6)	TMT+d	org. redesign (D.3)	TMT	
4.	org. restructure (D.2)	TMT+e	coll. consolidation (B.3)	TMT+f	
5.	org. redesign (D.3)	TMT+e	closing a library (C.4)	TMT	
6.	org. redesign (D.3)	TMT	----- -----	----	
7.	budget reductions (E.3)	TMT	org. redesign (D.3)	TMT	
8.	renovation(C.3)	TMT+g	allocation of \$ (E.2)	TMT	
9.	allocation of resources (E.2)	TMT	campus shared services(A.7)	TMT+h	
10.	re-envisioning process (D.2)	TMT	allocation of funding (E.2)	TMT	

- | | | | | |
|-----|---------------------------------|-----|--|-------|
| 11. | re-envisioning process
(D.2) | TMT | scholarly communication
program (A.9) | TMT+i |
|-----|---------------------------------|-----|--|-------|

Participants in the Decision-Making Process
Private Institutions (n=3)

Institution a: 12-18
Institution b: 19-26
Institution c: 27-34

TMT	Issue #1	Who?	Issue #2	who?	P.A.?
12.	Closing a library (C.4)	TMT+ (t, dd)	no response	---	
13.	redirection of \$ (E.1)				
14.	Linked data initiative	TMT+k	Shared print storage for journals	TMT	
15.	Configuration of new space	TMT+ (e., f., g., j)	redirection of \$ (E.1)		CEO
16.	Digital library planning	TMT+ (k,l,m)	Digital library implementation	TMT+ (k,l,m)	
17.	Digital Library Implementation	TMT+ (n)	Remote storage facility	TMT	
18.	redirection of \$	CEO+ (g, o, p)	Collection driven program	TMT	No
19.	Creation of a new library space	CEO+	Development of a service	TMT	
20.	Reallocation/redirection of resources	CEO+	Changes in reporting lines	CEO+ (q)	

21.	Participative organizational visioning	TMT+ (a,r,s)	Reorganization of library (e, t, u, j)	TMT+
22.	Restructuring process (D.3)	TMT	Development of collaborative space (C.2)	TMT+ (z,aa)
23.	Participative organizational visioning (D.2)	TMT+ (r, t, u)	Reorganization of library (D.3)	TMT+ (t,u)
24.	ILS System replacement (A.3)	CEO+ (TMT, x, y)	Remote storage of colls. (B.7)	CEO
25.	Special collections consolidation (B.3)	TMT+ (v,w,)	ILS system replacement (A.3)	TMT+ (x,y)
26.	Developing special collections (B.4)	TMT	Renovation of a library (C.3)	TMT+ (f,r,v,w)
27.	Data Mgmt. & Planning Service (A.1)	TMT+ (bb)	Material science program (A.2)	TMT
28.	Data Mgmt. & Planning Service (A.1)	TMT+ (g,bb,cc)	Reorg. of a library unit (D.1)	TMT
29.	Creation of a Task Force (F.1)	TMT	Data Mgmt. & Planning Service (A.1)	TMT
30.	Creation of a task force (F.1) (t,u)	TMT+	Change in reporting lines (D.4)	CEO/TMT
31.	Acquisition of new colls. (B.1)	TMT+ (e,t,k,r)	Acquisition of new colls (B.1)	CEO/TMT
32.	Creation of a committee (F.1)	TMT+ (ee)	Scholarly communication prog. (A.9)	TMT+ (ff)
33.	Creation of learning commons (C.1)	CEO+ (gg)	Data management service (A.1)	TMT+ (h)
34.	Construction of learning commons (C.1)	TMT+ (ii, jj)	no response	

APPENDIX 5.

Were Documents Provided, Created, Generated, or Shared in the Decision-Making Process?

Documents when present are coded as follows: provided (P), created (C), generated (G), or shared (S).

Public Institutions (n=3)

Institution a: 1-3

Institution b: 4-7

Institution c: 8-11

TMT Member	<u>Issue #1</u>	<u>Issue #2</u>
1.	C,G,S (emails, minutes from meetings)	C, S (vision document)
2.	G,S (emails)	C,G,S (de-selection criteria, technical procedures, framing documents, consultant literature on collaboration)
3.	P,C,S (reports, emails)	S (AUL's files)
4.	C, G, S (SWOT analysis, org. schemes)	P,C,G,S (org. scenarios, facilities documents)
5.	G ("commissioned many documents")	C ("documented as we went along.")
6.	C	N/A
7.	C,G,S (cost models, org. models, scenarios)	P,C,G,S
8.	C,G,S	C,G,S (consultant's study)
9.	C,G,S (consultant's study)	P, S (document from Chancellor's office on cost savings)
10.	C,G,S (env. scan of other libraries' org. schemes, scenarios)	P,S (Commission's report, Provost's 'charge' memo)
11.	C,G,S (working group documents)	C,G,S

Private Institutions (n=3)

Institution a: 12-18

Institution b: 19-26

Institution c: 27-34

12.	C, G (spreadsheets, scenarios)	N/A
13.		
14.	C, G, S, (ontologies, software)	C (proposal)
15.	C,G,S	C
16.	C,G,S	C,G,S
17.	C,G,S	C,G,S
18.	C.G	C,G,S
19.	C,S	P,C,G,S
20.		
21.	C, G, S	P,C,G,S
22.		
23.	P, C, G, S	C,G,S
24.	C, S	C,S
25.	C,G,S	C,G
26.	C,S (org. models)	no response
27.	C,S	C,S
28.	C, S (cost models, surveys, studies)	C,S
29.	C,S (charge from Dean, internal working docs., training docs.)	C,S
30.	C, (proposals)	none
31.	S (proposals)	P,C,G (contracts, gift agreements)
32.	P,C (consultant agreements)	P,C,G,S (flip charts, plans)
33.	P,C,G ('vision' documents)	P,C,G,S(env. scans, coll. data, policies)
34.	P,C,G,S (press releases, memos)	no response

APPENDIX 6.

TMT Members' Roles

<u>TMT</u>	<u>Role</u>
1 (CEO)	Issue #1: Keeping the lines of communication open Issue #2: Setting the goal and guidelines
2	Issue #1: Represented the library to university stakeholders Issue #2: Developed technical procedures
3	Issue #1: Point person with Academic Affairs Issue #2: Brought prior knowledge as line manager to inform strategy
4 (CEO)	Issue #1: Keeping the lines of communication open; communicating the vision Issue #2: Help staff 'push the envelope'; raise \$ for compact shelving
5	Issue#1: Worked with other TMT member to develop documents Issue #2: Considered how to integrate collections into the library
6	Issue #1: Responsible for closing branch libraries Issue #2: N/A
7.	Issue #1: Developed "what if" scenarios; educated TMT on budgeting Issue #2: Pushed information out to line managers
8 (CEO)	Issue #1: Maintained project as a priority; tried to 'keep spirits up'; 'tried to communicate [to TMT and staff] the effects of the external economic environment Issue #2: 'Oversaw setting of general guidelines and delegated heads of collections to work with selectors
9.	Issue #1: Maintained a clear vision, but didn't step on other (TMT members') toes. Issue #2: Worked to interpret the charge, considered the implications, negotiated areas of collaboration, and provided periodic updates to the TMT.
10	Issue #1: Led a task force to develop a white paper on the topic of models for librarians Issue #2: Crafted strategy that lined-up with processes and funding for campus multi-disciplinary initiatives.

11. Issue #1: Briefed the Dean before meeting with council of deans
Issue #2: Served as a 'consultant' to the lead AUL; helped draft a job description.

TMT Members' Roles: Private Institutions (n=3)

Institution a: 12-18

Institution b: 19-26

Institution c: 27-34

12. Issue #1: Worked closely with bibliographers and with other TMT member.
Issue#2: N/A
13. Issue#1: "fly on the wall" others, especially HR assisted
Issue#2: served on search committee for new curator
14. Issue#1: served as sole library technical services representative on linked data collaboration project with other university partners
Issue#2: helped determine "value" of journal titles; managed grant project
15. (CEO) Issue#1: Managed the TMT and external consultants.
Issue#2: Was key decision maker, worked with partners external to library; kept TMT members informed
16. Issue#1: served as a 'traffic cop'; listened a lot and set direction
Issue#2: represented one in a 'confederacy of agencies' on campus that together make up the technology infrastructure
17. Issue#1: I was responsible both administratively and curatorially to 'champion the interpretation of content areas', to line up portions of the collections with academic interests.
Issue#2: "heard concerns, considered impact, decided what would get done when"
18. Issue#1: Was manager for the project; worked with HR, CFO, and departmental managers; "pulled together key information and made decisions to move the project along"
Issue#2: "Played an administrative role to keep the whole project moving forward; handled intellectual property issues; worked closely with other TMT member on management aspects.
19. Issue#1: Arrived after the decision had been made

- Issue#2: Process was completed by the time I came on board
20. Issue#1: Controlled the public messaging for the project. I was the 'conductor' for the public face of the project.
Issue#2: I helped craft and disseminate the message for the new service.
 21. Issue#1: Sponsored a work team on communication; shepherded the process along
Issue#2: Asked a lot of questions to come up to speed on issues
 22. Issue#1:"I was an equal member of the team"
Issue#2: Lead instigator for the project; worked closely with the user experience librarian
 23. Issue#1: Met with line managers to explain and clarify concepts being used;
Issue#2: Received feedback from staff and passed it along to TMT
 24. Issue#1: talked about issue for a month in the TMT meetings
Issue#2: represented the library in consortium
 25. (CEO) Issue#1: Made clear the terms and scope of the project
Issue#2:Worked closely with CFO and ILS vendor
 26. Issue#1: dispelled myths and misperceptions about the special collections
Issue#2: provided CEO with information on site visits
 27. (CEO) Issue#1:advocated for project with constituents
Issue#2:offered funders something new and different
 28. Issue#1: P.I. for grant; liaised with faculty
Issue#2: key person overseeing a very deliberative process
 29. Issue#1: worked in multiple directions: with CEO, with TMT, with managers, with "strategy group"
Issue#2: worked closely with consultant; recommended members for team
 30. Issue#1: encouraged staff to trust the process
Issue#2: proposed a reporting line change to CEO

31. Issue#1: identified and secured resources that will make the library more visible
Issue#2: identified research prospects & connected them with the CEO, explored their interests to see if there was a good fit with the library's priorities
32. Issue#1: key member of newly formed strategic planning team
Issue#2: advocated for a more formal process that would increase and improve the flow of information to the CEO
33. Issue#1: acted as a kind of 'agent' who had informal conversations with folks on campus that informed strategic work
Issue#2: helped to 'get things done' through his familiarity with the university and its workings
34. Issue#1: arrived after the project was in progress so had limited input into its outcome
Issue#2: no response

APPENDIX 7.

Satisfaction and Influence

TMT members were asked to rate on a scale of 1-5 (1= not satisfied, 5=very satisfied) their level of satisfaction with the outcome of the two strategic decisions they cited. A follow-up questionnaire sent to participants asked them to rate themselves on a scale of 1-7 (1=no influence, 7=much influence) regarding the level of influence they felt they had had on a particular decision. Responses to these questions are found below organized by public and private institutions. An annotation in bold indicates that a TMT member cited one or more issues in common with the CEO, was hired by or promoted into his/her position by the CEO, indicated a high level of satisfaction with the outcome of the decision, and indicated they had a high degree of influence on the final decision for the issue cited in common with the CEO)

Satisfaction with outcome and influence are two important factors that together are indicative of engagement with an issue. High satisfaction indicates a favorable outcome to the decision. A high influence indicator coupled with a high satisfaction rating offers further evidence of TMT member involvement in strategic decision-making. It is of note that in all three public institutions, there is one TMT member who cited the same issue (s) as the CEO, was promoted or hired by that CEO, and ranked their degree of satisfaction and their perceived degree of influence as high. In each of these cases the CEO independently ranked the TMT member's influence as high as well. By contrast, only one out of three private institutions in the study presented the same conditions. Of note is that the one institution that did present the same findings, had three TMT members who cited the same issue as the CEO, who were hired or promoted by that CEO and recorded high levels of satisfaction with the outcome of the decision and their influence on the decision. The CEO again confirmed the TMT member's high level of influence.

Satisfaction With Strategic Issue Outcome & Influence

Public Institutions

TMT Member	Issue #1		Issue#2	
	Satisfaction	Influence	Satisfaction	Influence
1.	4.5	5	3.5	6
2.	5	5	4	4
3.	5	5	4	6
4.	4.5	6	5	6
5.	3.5	no response	4.25	no response
6.	4	5	N/A	

7.	4	6	3.5	6
8.	5	5	4	5
9.	3	n/a	2	5
10.	5	n/a	4	4
11.	4.5	no response	4	no response
	Mean=4.3		Mean=3.8	
	Median=4.5		Median=4	

Private Institutions

TMT Member	Issue #1		Issue#2	
	Satisfaction	Influence	Satisfaction	Influence
12.	5	no response	----	----
13.	3	1	4	3
14.	4	6	3.5	2
15.	3.5	no res.	4.5	no res.
16.	5	no res.	5	no res.
17.	4.5		5	
18.	4	2	no. res.	5
19.	5	-	5	-
20.	4	-	2.5	
21.	4	1	4	5
22.	3	2	4	4
23.	4	2	3	4
24.	4	2	2	1
25.	5	5	4	7
26.	4	5	4	3
27.	4	5	4	5
28.	5	5	2	
29.	4	5	5	6
30.	3.5	--	5	--
31.	5	6	4	5
32.	4	4	4	4
33.	5	--	4	4
34.	4	1	--	--

APPENDIX 8.

Demographic Data (Time in Tenure) for TMT Members Who Co-Cited Strategic Issues With CEO

Institution	Gndr.	Time in tenure/time in library/time in profession
a:	F	1/14/18
b:	M	1.5/1.5/18
	F	1.5/17/35
c:	F	8/8/30
	F	10/10/31
	F	6/27/29
d:	M	4.4/15/39
	F	4/10/17
	F	1.5/1.5/na
e:		
f:	F	5/18/18
	M	3/14/22
	M	1/32/37

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