

School of Information Sciences (SIS) J. Michael Pemberton

University of Tennessee, Knoxville IS 550

LIBRARY AND INFORMATION AGENCY MANAGEMENT (Revised)

FALL 1999

Class Meetings:

Monday: 9:40–12:25

Instructor's Office:

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RATIONALE

Increasingly, libraries and other types of information organizations (e.g., archives, records management units, MIS) are driven by management and technology considerations. Focal areas in **management** include planning, organizing, budgeting, directing, staffing--as opposed to **operational and transactional** activities (e.g., answering the next reference question, cataloging the next book). Curricula in accredited schools of library and information science reflect this trend in that many schools now require one or more management-specific courses. Many type-of-library courses (academic, special, public, school) emphasize management issues as well.

Whether or not students are full-fledged managers in their first position as an information professional, they will be very much a consumer of and unavoidably affected by the organization's management attitudes, policies, actions, and environments (those internal and external to the library). Upward mobility in the field necessarily means--like or not--taking a management track.

COURSE OBJECTIVES

Normally, SIS students have little prior education or past experience in management. IS 550, then, assumes little or no exposure to historical or contemporary management terminology, concepts, theories, techniques, practices, and processes. Thus, this course is of an *introductory* nature, and its primary objective is that of assisting the student develop basic understanding in several management areas. Unlike skill-specific courses (e.g. cataloging), this course's content is primarily intellectual vs. technical or technological. Texts, methods, and assignments used are appropriate to these assumptions.

More specifically, **course objectives** include development (through texts) and application (through case studies) of an understanding of:

1. The purposes of management study within the increasingly management-driven climate of information organizations.
2. Management terminology, management theories--including, to some extent, the persons who developed them--as well as management methods generally, with some emphasis on the library environment. Much of this is factual in nature and is gained through the principal course text, *Stueart and Moran*.
3. Basic management terms, concepts, and practices and their applications to library and information center environments in the specific functional areas of: planning, organizing, staffing, directing, controlling, and budgeting.

This objective is realized through the use of case studies which encourage reflection upon and application of what is introduced through objective 2, above. Here, insight, personal values, and emergent professional judgement are being realized.

4. The importance of being an enlightened and informed **consumer** of the management practices of others and learning to some extent the relationships of managing, being managed, and the implications of managing oneself as a resource.

EVALUATED WORK

The course requires two categories of work:

1. Study and understanding of the content of the principal texts. (The central thrust of the course's **three [3] exams of equal weight** will be on the primary text, *Stueart and Moran* [ca. 85% of exam content] plus auxiliary readings/assignments [ca. 15% of exam content]). Case study material is *not* included on the exams. (See **Course Calendar** and **Assignment Summary** for dates.) A student-created review of the chapters in *Stueart and Moran* is supplied for your use.
2. Success with development of :
 - a. detailed development a cover letter and resume in support of application for a vacant position of interest to the student and meeting the student's career interests (see **Course Calendar** and **Assignment Summary** for due date), and
 - b. Success with individual effort in a written case analysis (see **Course Calendar** and **Assignment Summary** for due date).

ASSIGNMENT SUMMARY:

There are five (5) graded items; they are:

Three (3) exams @ 20% = 60% of course grade (October 4, November 8, December 6)

Assignment A = 20% of course grade (September 27)

Assignment B = 20% of course grade (November 22)

TOTAL = 100%

COURSE FORMAT

For the most part, there is a fairly predictable pattern, or cycle, to this course:

1. A chapter in *Stueart and Moran* generally starts a unit of study.
2. It is followed by readings from other sources.
3. These are followed by one or two informal case analyses.
4. An exam is taken over the material of two or more units recently covered.

NOTE ON CLASS MEETING FORMAT/CONTENT

1. The instructor assumes that students have, as asked, read material assigned for completion before a given class.
2. Typically, near the opening of a class meeting, the instructor asks for questions from students about issues or questions arising from their reading of *Stueart and Moran* and auxiliary readings (found in course- pak).
3. Questions about the material may be posed **to** individual students.
4. The instructor ordinarily reviews selected topics which need development beyond *Stueart and Moran*.
5. Often, there will be a guided discussion of assigned cases studies (found in course-pak)

READINGS

To a degree, two of the instructor's beliefs guide selection of readings:

1. "Management is management." Library management--as opposed to operational activity in libraries--is an applied *subset of general management thought and practice* and borrows heavily from it. Thus, there are readings in the course from or based on the general management literature. Much of what is in *S&M* as well as the supplemental readings, many of which are referred to in *S&M*, bear this out.
2. As this course has a conceptual rather than a technique-and-technology orientation, readings are of a classic or foundational type rather than current.

TEXTBOOK

As it is anticipated that all of *Stueart and Moran* below, available in paperback at bookstores, will be read and discussed, students should have a personal copy of this text. Copies of the cases to be used and case-study instructions from *Anderson* are supplied.

1. Robert D. Stueart and Barbara B. Moran, *Library and Information Center Management*, 5th edition, 1998 (hereafter: *S&M*). This book is the foundation, central focus, and organizing vehicle of the course and should be read and reflected upon with considerable care by students.

Students should invariably read all Appendixes relevant to *S & M* chapters as this material often specifies, clarifies, or gives useful and specific examples of chapter concepts. Appendixes are not directly covered in exams.

2. A[rthur] J[ames] Anderson, *Problems in Library Management* [1981] (Z 678.88 .A53--RESERVE) [hereafter: *Anderson*]. Cases help the student see in library-specific contexts many of the management theories, terms, concepts, and practices discussed in *S & M*. This case book's organization is directly coordinated with the structure of *S & M*. Those who are concerned about the datedness of some of the specifics in the cases (e.g., typewriters) may miss the point--and the value of the cases. For those interested in the opinion of library practitioners about specific cases, a cases column edited by Anderson now appears several times a year in *Library Journal*.

Selected cases are assigned in the **COURSE CALENDAR**, below, and should be read and considered only **after** the relevant chapter from *S&M* has been read and considered.

There are assigned readings outside *S&M*--on reserve or handed out in class.

HANDOUTS

There will be a variety of handouts provided during the term.

OTHER ASSIGNED READINGS

A number of the required readings are reprinted in and are available from:

Beverly P. Lynch, ed. *Management Strategies for Libraries: A Basic Reader* (New York: Neal-Schuman, 1985); hereafter *Lynch* and Ruth J. Person, ed. *The Management Process: A Selection of Readings for Librarians* (Chicago: American Library Association, 1983); hereafter: *Person*. **Both volumes are on reserve--Hodges.**

ASSIGNMENT SUMMARY RECAP:

There are five (5) graded items; they are:

Three (3) exams @ 20% = 60% of course grade (October. 6, November. 3, December. 8)

Assignment A = 20% of course grade (September 29)

Assignment B = 20% of course grade (November 24)

TOTAL = 100%

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CONTACTING THE INSTRUCTOR

I want to be as available as reasonably possible for consultation about your work. I have listed for you

three (3) phone numbers (two with remotely addressable answering machines which I check regularly). (I can not take responsibility for receiving messages left via the SIS office.) Please contact me by phone or by e-mail to discuss your needs or to make an appointment. When calling me at work or at home, please leave at least your name and the number where I can reach you. Your needs are important; you are not "bothering" me to call at home--or elsewhere--when the need is class work related.

NOTE ON "INCOMPLETES"

Based on adopted University of Tennessee, Knoxville, and SIS policy, an "Incomplete" is granted only under "the most unusual of circumstances." Power to grant an "Incomplete" resides wholly in the instructor and is not a student right. In the event that an "Incomplete" is even to be considered, the student will be required to petition for an "Incomplete" by filling out a SIS approved form used for that purpose (contact instructor), and the student will agree to the conditions and date set by the instructor for the removal of the "I" ("Incomplete"). In any event, an "I" not removed within one semester automatically becomes an "F." For students who simply "disappear" without contacting the instructor and without completing the required form, an "F" is submitted.

NOTE ON ACADEMIC HONESTY

Plagiarism in any of its several forms is intolerable, and attention to matters of documentation in all written work is expected and required. Inadvertence (i.e., "carelessness"), alleged lack of understanding, or avowed ignorance of the various types of plagiarism (including lack of proper attribution of sources and use of quoted material and mechanics for same) are not acceptable excuses. Students who may be unsure of the nature of plagiarism should consult a source on writing research reports, such as "Section 34," Harbrace College Handbook (Hodges Library, Reference: PE 1112 .H6 [latest edition]). Infractions of academic integrity are penalized according to the severity of the infraction but **may include a course grade of "F" and the instructor's recommendation to the UTK Dean for Graduate Studies that the student be dismissed from the University.**

Each student's work is to be the product of his/her own study and/or research, not a joint effort of any sort unless previously approved. The UTK Honor Statement, adopted in 1987, and subscribed to, *de facto* by all entering students reads in part: "As a student of the University, I pledge that I will neither knowingly give nor receive any inappropriate assistance in academic work, thus affirming my own personal commitment to honor and integrity." (See also *Hilltopics*.)

METHODS OF DOCUMENTATION

The standard SIS resource for matters of documentation is Kate L. Turabian, *A Manual for Writers of Term Papers, Theses, and Dissertations*. 5th edition [or later] (Chicago: University of Chicago Press, 1987). (Paperbound copies abound in local bookstores.) Turabian is derived from the *Chicago Manual of Style*, 13th ed. For matters not covered in Turabian or where there is ambiguity, the latest edition of the *Chicago Manual of Style* is ultimately authoritative.

Use of footnotes at the bottom of pages is unnecessary. One may use superscript note numbers--in text--linked to endnotes, a collection of notes with corresponding superscript numbers collected on separate pages at the paper's end. Easier still--and perfectly valid as well--is the use of internal, parenthetical documentation, such as ". . ." (Jones, p. 98) or . . . [one's paraphrase of Jones' text] (Jones, p. 98). The reader then refers to the alphabetized "Bibliography" at the end of the paper for the first and only **full** reference to "Jones." Papers containing references to more than one work by "Jones" simply use an abbreviated short title and the name parenthetically; e.g., ". . ." (Jones, "If Today," p. 98) or author's

name and date of the cited work; e.g., . . ." (Jones, 1990, p. 45).

FORMAT OF PAPERS/EXAMS

Unless otherwise indicated--or negotiated under special circumstances--all required papers (not reading log) will be typed, or printed out, on 8 ½" X 11" paper, with 1.25" left margin and 1" for all others. Paper through which the text of the next page can be easily read is inadequate as is "erasable" paper which smears or bleeds when written on in ink. If word processed, do not right justify as this causes eyeball stretching internal spacing. Pages will be numbered. Do not use clasps, binders or folders; simply staple paper in upper left corner. If necessary, papers are acceptable on 3.5" disc in WordPerfect 6.1 or higher format or Word 6.

For *examinations*, please bring two (2) fresh "blue books" and write in black or blue/black ink, not pencil; use "white out" for erasure--or use pen with erasable ink.

LANGUAGE OF INSTRUCTION

The language of instruction, written work, and examination(s) for this course is Standard English.

STUDENTS WITH SPECIAL NEEDS

The University of Tennessee intends to comply with requirements of Section 504 of the Rehabilitation Act of 1973 and those of the Americans with Disabilities Act (ADA) of 1990. Students with special needs should consult with the instructor as early as possible in the term about possible accommodations under these regulations.

GENDER-NEUTRAL LANGUAGE

UTK and class policy is that instructor and students should strive for gender neutral, or gender inclusive, language where possible in written and oral speech. That is, "humanity" is preferred over "mankind," "men/women" vs "men/girls," etc. While working to amend his early training, the instructor apologizes in advance for any gaffes of his own in this area.

STUDENT EVALUATION

Work in the course assumes post-baccalaureate analytical, thinking and writing skills. Work is be evaluated **at a graduate level** on appropriateness of content and strength and creativity of response; ability to follow directions and adhere to assignment specifications; accuracy; clarity; organization; consistent use of Standard (i.e., correct) English in areas of grammar, style, mechanics, use of sources, etc. Additional criteria are noted in the "Grading Scale," below.

Grading is on the following scale

A =90-100--indicates *superior* competencies, exceeds expectations for adequate work; simply meeting minimal or basic expectations of assignment specifications is not "A" work. "A" work is normally found to contain additional critical, analytical, or creative insight.

B+ = 85-89--indicates that all basic competencies have been met and surpassed.

B = 80-84--indicates that all basic expectations have been met.

C+ = 75-79--indicates that some expectations have been met.

C = 70-74--indicates that an inadequate number of expectations have been met.

D = 65-79--indicates that work is unsatisfactory

F = 0-64--indicates that work has not met any expectations of the assignment.

PENALTY FOR LATE WORK

Except by **prior agreement**, ½ letter grade per working day may be deducted for written work not submitted by 5:00 p.m. the day due or 6:30 p.m. if a night class. For example, a paper which would normally receive the letter grade of "B" may receive a "C" if two working days late--and so forth. The same type of penalty may apply to scheduled oral reports except that they are assessed an automatic penalty of two letter grades' reduction for each class period for which they are scheduled and are not delivered--except by **prior arrangement**, which must be arrived at least 24 hours prior to the original time scheduled for the presentation.

CLASS ATTENDANCE POLICY

Clearly, class attendance is recommended, but attendance per se does not directly effect a student's grade-- positively or negatively.

CLASS CANCELLATIONS

Should it be necessary to cancel a class meeting, every effort will be taken to do so in advance. Look for announcements on the SIS list-servs (UTK and the one for additional sites)

COURSE AND INSTRUCTOR EVALUATION

The instructor considers course/instructor evaluation a student right and, perhaps, even a responsibility. Toward the end of the term, students are given an--optional--opportunity to evaluate course and instructor using a combination of university mandated and SIS-specific questions. Evaluations are turned in, by a student and in a sealed envelope, to the SIS main office, where they are tabulated, comments extracted and typed, and all the information is reviewed by the Director. Later--at a point normally three weeks into the next semester--the results are given the instructor. The instructor appreciates students' time taken to do the evaluation and does review and consider them for course and instructional improvement.

Chapter Outlines

For: Robert Steuart and Barbara Moran, *Library Management* . . . 4th ed.(1993)

Over the years and with two different editions of *S&M*, these chapter outlines have been created by SIS students for SIS students.

NB: THESE CHAPTER OUTLINES ARE FOR REVIEW PURPOSES ONLY; THEY DO NOT: 1) INDICATE WHICH MATERIAL WILL BE/NOT BE ON TESTS AND/OR 2) REPRESENT THE LEVEL OF COMPLEXITY OR SOPHISTICATION EXPECTED IN RESPONSE TO EXAM QUESTIONS POSED.

CHAPTER 1

A HISTORICAL OVERVIEW"

INTRODUCTION:

The schools of management thought which have developed in this century normally reflect the problems of the times in which they first became popular. For purposes of discussion, these can be broadly grouped into the Scientific, Human Relations, and Systems Approaches.

I. SCIENTIFIC APPROACH:

Scientific Management Movement:

The term "scientific management" was coined by Louis Brandeis in 1910. The basic assumption of this movement is the philosophy that workers are economically motivated and that they will respond with their best efforts if material rewards are closely related to work efforts. In the United States, the work of Frederick Winslow Taylor dominates the thinking in this field of management. Taylor's views followed closely those of the Protestant work ethic. His attitude toward work was that man and machine were virtually one.

Efficiency was the central theme of Taylor's writings. He felt that faster work could be assured only through:

1. enforced standardization;
2. enforced adaptation of best instruments and working conditions;
3. enforced cooperation.

Taylor was the most important advocate of the scientific method approach. Others who worked in this same area were Frank and Lillian Gilbreth and Henry L. Gantt.

Classical Movement

The "classical school" purports to analyze the management process, establish a conceptual framework for it, identify principles, and build a theory of management from them. This school is sometimes referred to as the "traditional" or "universalist" school.

The father of this movement is a Frenchman, Henri Fayol. Fayol took the scientific approach, but he looked at administration from the top down. He emphasized the need to teach administration at all levels.

Taylor and Fayol may be considered the founders of the theory of "administration," or what today we call "management."

System Movement:

This theory distinguished between administration (representing the ownership point of view) and scientific management (an approach to work at the operative level) as they related to the organization as

a system. This movement expanded the work of Fayol and at the same time began to explore the behavioral aspects of management. The paradigm, or mnemonic, POSDCoRB (Planning, Organizing, Staffing, Directing, Coordinating, Reporting, Budgeting) is associated with this movement.

II. HUMAN RELATIONS APPROACH:

Since managing involves getting things done through people, the contributors to the human-relations movements believed that management study should center on interpersonal relations. This school is primarily concerned with the study of people as human beings rather than as work units.

Human Behavior Movement:

Research emanating from this movement has focused on behavior of the individual, the group, and the organization. The major assumption is that if management will make employees happy, maximum performance will result.

Taylor said that man at work is an entirely economic man, but Elton Mayo maintained that workers are motivated by "togetherness" and crave individual recognition within the group.

Self-Actualizing Movement:

This movement is closely related to the human relations movement and is often confused with it. It encourages management to let employees develop social groups on the job, to move toward employee participation in management, and to allow democracy in the organization. The father of this school is Chester Barnard.

III. SYSTEMS APPROACH:

Another approach is that information can be gathered by micro-studies of units in the system, and their interrelatedness and interdependency creates the whole organization as a total system.

Decision Theory Movement:

The decision theory school is primarily concerned with the study of rational decision procedures and the way managers actually reach decisions. The implications are that mathematical models and quantitative processes could serve as the basis for all management. These management scientists share common characteristics, namely:

1. the application of scientific analysis to managerial problems;
2. the goal of improving the manager's decision-making ability;
3. a high regard for economic effectiveness criteria;
4. a reliance on mathematical models;
5. the utilization of electronic computers.

General Systems Theory (GST) Movement:

This movement is integrating the knowledge that has been gleaned from the biological, physical and behavioral science into one system. Ludwig von Bertalanffy is credited with being the founder of GST by being the first to talk about the "systems theory of the organism." The major concept of the theory is that the system and environment interact with each other as well as the elements within the system.

Psychological Movement:

Based upon personality theory, this newest movement views the human as a complex being, changing and progressing through physiological and psychological stages in which the organization plays the role of a tool.

IV. CONTINGENCY APPROACH

This is a situational approach which considers the circumstances of each situation and decides which response has the greatest chance of success. It asserts that:

1. There is no best management technique,
2. There is no best way to manage,
3. No technique is effective all of the time,
4. What works best always depends on the situation.

It requires an analysis of the entire managerial environment, and it synthesizes all approaches.

SUMMARY:

All these theories are concerned with the management process, but no one movement alone can begin to provide a comprehensive view. Whether developed by social theorists or merely building on some of their ideas, all have strong and weak points. Some of the best and worst of each can be widely observed in libraries today. Functions common to all managers--planning, organizing, staffing, directing, and controlling--provide a framework for the basic elements in the managerial process.

CHAPTER 2

THE PLANNING PROCESS"

I. LIBRARY PLANNING:

This is the most central, or basic, management function; all other functions must reflect it. It is the queen of the managerial sciences. It is easily avoided. Reasons include:

1. Quite difficult to do--especially for the unskilled
2. Time-consuming in the face of other obligations
3. Economic/futures uncertainty; difficulty in making planning oriented predictions
4. Shrinking federal, state, and local support

5. Changing societal/political priorities

6. Technological innovations

MRAP (Management Review and Analysis Program), developed by the Office of Management Studies of the Association of Research Libraries, is a self study guide for developing the planning process. (The University of Tennessee, Knoxville Library was an early participant in this effort; copy of study in Hodges, Stacks.)

What Is Planning?

1. Planning is a process
2. Making decisions regarding courses of action in light of established missions, goals, objectives, and other available information
3. Used to reduce or offset uncertainty and change
4. To focus attention on clearly defined objectives
5. To develop a more economic operation
6. To facilitate control

A planning document becomes today's design for tomorrow's action. Planning is a top-down directional endeavor involving degrees of staff involvement which vary from library to library, parent organization to parent organization, etc.

Factors In Planning:

1. **Time:**

A. Long-range: (strategic, master) planning well in the future (for 5 to 10 years from now).

B. Short-term: (operational, tactical) planning is the-day-to-day type involving more detail and having more specific objectives than long-range plans and bringing the general guides of long range plans to the more immediate operational stage (usually not more than one year).

2. **Collecting and Analyzing Data:** the study of the whole organization and its operation.

3. **Levels of Planning:**

A. Middle and lower echelon personnel: getting practical point of view of those closer to the operations' scene and short term (tactical) planning.

B. Higher echelon personnel: long-range (strategic) planning.

4. **Flexibility**: meeting the changing needs.

The whole concept must be a coordinated network.

5. **Accountability**: obligation to carry out established plans, ultimately the manager is responsible.

Strategic Planning

The continuous process of making entrepreneurial or risk taking decisions systematically with the greatest knowledge of future consequences. It should project at least five years and needs periodic reviews to update, delete, or revise aspects.

1. **Strategic Planning As Self Analysis**

This identifies the organization's strengths/weaknesses, coordinates what a library wants to be (mission statement) with what it can afford to be (controlled by physical and financial capacity), and allows an organization to concentrate its resources in areas that make the most difference in the future.

A. Models for Strategic Planning

Emphasizing creativity and innovation is usually more desirable than following mechanical planning models.

B. Getting Started

Identify a planning team that can work with a strategic planning consultant to decide what data to collect, how to collect it, who will collect it, and how to analyze it. Set a realistic time frame (between six months and a year) for the initial plan.

Environmental scanning looks at the larger context. 2 approaches:

1. Look at the overlapping layers of macro-environment, customer environment, and internal environment.
2. Look at external constraints (PESTS) and internal analysis (SWOT).

The eight steps in strategic planning are:

1. identify values
2. conduct environmental scan
3. create vision statement
4. formulate mission statement
5. develop goals/objectives
6. develop strategies

7. implement plan

8. monitor, evaluate, adjust plan

2. Planning Techniques

A. Standards or Guidelines: these are not plans; they are simply a means of differentiating between acceptable and unacceptable service as seen by those who develop the standards or guidelines of service.

B. Forecasting: the most valuable planning technique projections; based on systematic review

1. Deterministic: the past is used to project the future;

2. Symptomatic: signs which might be indicators of the future;

3. Systematic: underlying regularities.

4. Delphi technique--popular with high-level librarians and researchers in librarianship.)

Trend projection - graphically plots future trends based on past experience.

Environment for Planning:

The internal structure of the library--personnel, and material--must be considered in developing a planning climate:

1. the entire organization should know the direction, goals, and expectations of the library.

2. the library and institutional administration should know of all decisions, commitments, and efforts of the organizational members.

II. MISSION, GOALS, AND OBJECTIVES FOR LIBRARIES:

While there is some confusion in the use of the terms, for this work the following hierarchy--highest to lowest--is assumed: **Mission, Goals, Objectives, Activities, Policies, Procedures.**

Mission = self imposed duty

Goal = purpose toward which effort is directed

Objective = measurable action to be achieved

The mission is the over-arching concept or principle which guides the organization toward establishing more specific goals and objectives.

An objective is the aim or end of an action. Identification of service objectives is the first step in the planning process for libraries. Objectives can be measured in terms of accomplishment; mission and goals cannot usually be objectively measured.

(Each successive level is derived from the level above it.)

Formulating Objectives

Clearly formulated objectives enable all parts of an organization to work toward common goals. There are 4 levels of objectives:

1. Broad General Mission: It is the justification for the organization's existence, often one sentence which points to the organization's primary purpose.

2. Organization-Wide Goals: These are relatively broad aspirations that represent a philosophical basis for the operation of the library and must be flexible to reflect change in the internal or external environment.

3. Specific Objectives: These can either be departmental objectives or short-range ones for the whole organization. Questions that must be addressed in the objective setting exercise are:

1. Is the objective suitable?
2. Does it take the organization in the direction it wants to go?
3. Does it support the overall mission?
4. Is it compatible with other objectives?
5. Is it acceptable to the majority who will be charged with implementing it?
6. Can the organization afford it?
7. Is it measurable and achievable?
8. Is it ambitious enough to be challenging?

4. Activities: These are measurable, short-term, numerous, and relate to the day-to-day functioning of the organization.

SUMMARY OF OBJECTIVES: All four elements of the hierarchy include or involve:

- (1) the clients
- (2) the services
- (3) the personnel resources
- (4) the financial resources, and
- (5) the community responsibilities.

Three primary areas of consideration to achieve balance between obtainability and challenge are:

- (1) The environmental level
- (2) The organizational level
- (3) The individual level

Management by Objectives (MBO)

MBO, developed most highly by Peter Drucker, combines individual and institutional goal setting with the decision-making process. In essence, Management by Objectives means establishing sets of objectives (for the organization, units, and individuals) and approaching them as a team over a stated period of time.

The whole MBO process rests upon several premises:

1. Clearly stated objectives;
2. A succession of specific objectives;
3. Delegation of specific objectives;
4. Freedom to act;
5. Verifiable results;
6. Clear communication;
7. Shared responsibilities;
8. Personal accountability;
9. Improving management ability.

The approach to Management by Objectives is expressed in operational phrases:

1. Finding the objectives;
2. Setting the objectives;
3. Validating the objectives;
4. Implementing the objectives;
5. Controlling and reporting the status of the objectives.

III. POLICY MAKING:

A policy leads to the achievement of objectives and aids in the decision-making process. Policy making is developed at all levels of management.

Sources of Policy

1. Originated policy
2. Appealed policy
3. Implied policy
4. Externally imposed policy

Effective Policy Making

There are two groups of policies: (1) those that deal with the managerial functions of planning, organizing, staffing, directing, and controlling; and (2) those that deal with the functions of the enterprise, such as selection and development of resources, finance, personnel, and public relations. Several basic rules should be considered when policies are being formulated. Policies should be:

1. Reflective of the objectives and plans of the organization;
2. Consistent, so that efficiency is maintained;
3. Flexible, so that they can be changed as new needs arise;
4. Distinguished from rules and procedures;
5. Written, so that they are easily communicated to staff.

Implementing Policy

Procedures are guides to action rather than guides to thinking, and they are subordinate to policies.

Rules are regulations consisting the simplest type of plan, spelling out a required course of action or conduct that must be followed.

IV. DECISION MAKING:

Actual selection from among alternatives is the core of planning. The decision making procedure can be divided into three phases: intelligence, design, and choice.

Group Decision Making

There are several advantages to group decision making:

1. Group judgment;
2. Group authority;
3. Communication.

There are also disadvantages to group decision making:

1. Cost;
2. Compromise;
3. Indecision;
4. Power;
5. Authority.

Steps and Factors in Decision Making

The scientific approach of decision making requires:

1. Identification of the problem;
2. Collection and analysis of all data;
3. Selection of the one most appropriate of the developed alternatives;
4. Implementation of the chosen course of action.

Selection from among alternatives is based on:

1. Experience
2. Experimentation
3. Research and analysis.

Suggestions to facilitate involvement in the decision making process:

1. Distinguish big from little problems.
2. Rely on policy to settle routine problems, and thorough analysis for big problems.
3. Delegate as many decisions as possible to the level of authority most qualified and most interested in making them.
4. Avoid crisis decisions--plan ahead.
5. Don't expect to be right all the time.

CHAPTER 3

"ORGANIZING"

INTRODUCTION

I. WHAT AN ORGANIZATION IS:

Groups of individuals joined together to accomplish some objective.

Formal and informal organizations

Formal organizations are legally constituted or decreed by those in authority. Informal organizations are more loosely organized and flexible, nearly spontaneous, yet they may significantly impact the formal organization.

Libraries as Organizations

Libraries are distinct with special characteristic yet share many common characteristics with other types of organizations.

Koontz and O'Donnell summarize the process of organizing as: the manager brings order out of chaos; removes conflicts between people; and establishes an environment suitable for teamwork.

Organizational Structure

Peter Drucker's determining factors for an organizational structure are:

- A. Activities analysis.
- B. Decision analysis.
- C. Relations analysis.

II. SPECIALIZATION: DEPARTMENTALIZATION

Total tasks of an organization are done by horizontal specializations and through vertical differentiation.

An organization is structured by identifying and grouping similar or related required activities or tasks into departments.

Activity tasks are those with primary emphasis on: process, procedure, or technique.

People-oriented tasks emphasize human relationships and require ability: to communicate, to guide or direct, and to motivate other individuals.

Mintzberg's basic elements of organization:

1. Strategic apex
2. Middle line

3. Operating core
4. Technostructure
5. Support staff

Business and industry have generally used six methods to establish departments. Libraries use the following:

A. Numbers (seldom used). Example: Moving a library. (Temporary).

B. Function - extensively used

1. Circulation

2. Reference

3. Acquisitions

4. Cataloging

5. Administration

C. Territory

1. Central facility for public and school libraries

2. Branch libraries

3. Bookmobiles

4. Academic branches

D. Product--not normally used by libraries with the exception of bibliographies, library guides, catalog cards, etc. considered to be products.

E. Customer--needs and desires of a definable group.

1. Special children's rooms

2. Young adults

3. Business users

F. Process or Equipment

1. Binding equipment

2. Microform readers

3. Phonograph players

4. VCRs

G. Subject--used extensively by large public and academic libraries, it provides more in-depth reference service and reader guidance.

H. Form of resources - frequently used.

1. Map department

2. Film library

3. Periodicals

4. Documents

5. Microforms

6. Rare books

7. Online services

III. SPECIALIZATION: HIERARCHY

This involves the structuring of authority within the organization. Each department must have a manager who has the authority to supervise employees and the responsibility of carrying out assigned tasks.

The Scalar Principle

The Scalar Principle requires that there be a final, ultimate authority in every organization and that lines of authority extend downward through the organization to every subordinate position. A hierarchy develops as a result of the ranking of organizational units.

Delegation is the transfer of authority within closely prescribed limits. Managers need to consider the results expected, the assignment of tasks, the delegation of authority, and holding people responsible.

Centralization and Decentralization

This can best be envisioned as two ends of a continuum with much power and authority retained by top management are centralized and those with a high degree of delegation of duties, power and authority at lower levels are decentralized.

Unity of Command and Span of Management

The organizational structure should guarantee that each employee is supervised by only one supervisor. This principle protects the employee from undesirable situations that result from dual or multiple supervision.

Span of Management refers to how many individuals one supervisor can effectively manage. Criteria for

determining this optimum number include:

A. The kind of assignment

1. If similar activities, can handle more.
2. If varied activities, number should be decreased.
3. Should be fewer detailed assignments as they require broader and more detailed job knowledge.

B. The amount of time involved in communication; i.e., the amount of time a manager can give to each subordinate supervisor.

Narrow spans of management result in the advantages of: tight control and close supervision; time for managers to think of future matters; and lower quality managers able to perform effectively. Disadvantages are: more costs due to more personnel; and complexity of communication and coordination.

Wide spans of management result in the advantages of: subordinates allowed to make decisions; reduces costs with fewer personnel; and reduces communication and coordination problems. Disadvantages are: lack of tight control and supervision; and higher quality and more costly people needed to run the organization.

Line and Staff Positions

I. Line positions have authority and command in an organization and are the decision makers.

II. Staff positions are advisory positions without authority. They provide the facts, the support, the information needed by the decision makers.

Functional Authority is the supervisory power exercised on the unit by a position outside the organizational unit. A specialist in a staff position can gradually assume authority when assisting a line supervisor in a particular area over a period of time.

IV. COORDINATION AND INTEGRATION:

Coordinating Mechanisms

Several means can be employed to achieve coordination: the vertical hierarchy, the planning techniques of Chapter organizational manuals, and committees.

Mintzberg identifies five coordinating mechanisms:

1. Mutual adjustment
2. Direct supervision
3. Standardization of work processes
4. Standardization of outputs

5. Standardization of skills

Organization Charts

An organization chart is a graphic presentation of the organizational structure. It is a static model of a dynamic process and can be presented in traditional or "doughnut" form.

V. THE TYPES OF FORMAL ORGANIZATIONS:

Most libraries are bureaucracies.

Bureaucracies

Max Weber described the characteristics of the ideal administrative framework as:

- A. Impersonal and formal conduct.
- B. Employment and promotion on the basis of technical competence.
- C. Systematic specialization of labor and specification of responsibilities.
- D. A well-ordered system of rules and procedures that regulate the conduct of work.
- E. Hierarchy of positions such that each position is controlled by a higher one.
- F. Complete separation of the property and affairs of the organization from the personal property and affairs of the incumbents.

Organic Systems

This type is appropriate to changing conditions which constantly give rise to fresh problems and unforeseen requirements for action. In almost every respect it is the opposite of the classical bureaucracy.

Modifications to Bureaucracies

1. Committees

Committees are commonly used modifications of the hierarchy structures in libraries. They help bring a wide variety of knowledge and expertise to bear on a topic.

2. Task Force or Project Management

This type is assigned to work full time on a specific temporary task after the completion of which the members return to their primary jobs.

3. Quality Circles

A small group of 6 to 12 employees volunteer to meet regularly and recommend solutions to

productivity problems.

4. Self-Managing Teams

An autonomous team works as a group to perform related tasks.

5. Matrix Organizational Structure

This type attempts to retain the advantages of functional specialization while adding the project management advantage of improved coordination. This also serves to provide job interest through varied tasks for librarians while maintaining a main focus for work. But it violates unity of command and is very complex, thus it is usually only adopted in a modified manner.

VI. LIBRARY ORGANIZATION OF THE FUTURE

Libraries are moving slowly from rigid hierarchies to organic forms. The organizational structure should be as simple as possible.

CONCLUSION:

The organizational structure must allow workers to specialize and, at the same time, must coordinate and integrate their activities.

CHAPTER 4

"STAFFING"

INTRODUCTION:

All libraries consist of at least three components:

- A. The physical facility
- B. A collection of resources (including furniture and equipment as well as materials)
- C. Personnel (staff)

Management's staffing tasks include:

- A. Recruitment
- B. Selection
- C. Training
- D. Evaluation
- E. Compensation

F. Development of employees

I. TYPES OF STAFF:

A. Professional

B. Support Staff

1. Paraprofessional

2. Clerical

See "LEPU" statement, Appendix B, pp. 325-332.

Matching the appropriate level of work to the appropriate type of employee is one of the most difficult issues for library administrators. There is a great need to recognize and reward financially the important role that non-administrative librarians play.

II. THE ORGANIZATIONAL FRAMEWORK FOR STAFFING:

The terms "job," "position," "career," and "occupation" are not really interchangeable but have distinct meanings in personnel work.

A well-defined job has assigned to it tasks that are comparable in the amount of education, experience, and the degree of responsibility required.

A. Job Descriptions

1. A job description should be a written statement which:

- a. Specifies the duties associated with that particular job.
- b. Defines the relationship of the job and the employee to other units of the institution.
- c. Sets standards of education, experience, and special skills required in the job.

2. Information needed in a job description:

- a. Job title.
- b. Purpose and scope of the job.
- c. Specific tasks assigned the job.
- d. Relationship of position to larger institution.
- e. Job requirements and specifications.

B. Job Analysis

1 Allows the institution to gather information about what is actually being done by employees holding specific jobs.

2. Methods employed for job analysis:

a. Direct observation of the job.

b. Interviews.

c. Written questionnaires.

3. An audit will show the need for the reclassification of a job and will identify jobs that need new job descriptions.

C. Job Evaluation

Job descriptions are arranged in a hierarchical order by the following criteria:

1. Required education.

2. Required experience.

3. Degree of end responsibility.

III. RECRUITMENT AND HIRING:

Recruitment (seeking and attracting a pool of applicants from which qualified applicants can be chosen) and Selection (actually choosing the individual most likely to successfully perform a job) are accomplished by these steps:

A. Application forms

B. Applicant testing

C. Job interview

D. Background verification

E. Hiring

IV. TRAINING AND STAFF DEVELOPMENT

The term "training" covers the total gamut of instructing an individual in how to do a job but also covers an orientation as to why an assigned job is important.

General orientation should include general information and the goals, objectives, and philosophies of the organization. Specific job training is best done by the immediate supervisor in a series of carefully planned steps.

Staff development and continuing education are necessary because of rapid changes in all types of libraries.

A. Mentoring

A mentor is an influential person who significantly helps another, usually younger, person reach his/her major goals and oversees his/her career. Their 4 main functions are: teaching, psychological counseling/emotional support, organizational intervention, and sponsoring. Mentoring is mutually beneficial to the mentor, protegee, and organization.

B. Plateauing and Burnout

Plateauing occurs when well-qualified employees can not advance because there are no openings in the positions directly above them. This causes frustration and depression.

Structural Plateauing: An employee is no longer promoted within the organization.

Content Plateauing: The job has become routine and no longer provides challenging tasks.

Burnout is stress induced and affects employees engaged in "people work."

V. EVALUATION: PERFORMANCE APPRAISALS

Performance evaluations have important functions to fulfill in a personnel program. Some of the benefits are:

1. It provides a basis for promotion, demotion, and termination of employees.
2. It can serve as a basis for wage and salary treatment.
3. It provides better understanding of the individual worker's capabilities and potential.
4. It provides concrete feedback to improve performance in the future because he or she is aware of weaknesses and how to correct them.
5. By providing feedback it helps employees establish personal goals and thus further implement the institutional goals.
6. It can determine the need for special training organizational and individual.

One of the major problems in a performance evaluation is to establish the standards of performance against which an employee's work is judged. There are three categories:

1. Quality-quantity standards. How well are the tasks performed, and how much of each task is actually accomplished?
2. Desired effect standards. Is work complete, accurate, and performed on time?
3. Manner of performance standards. Is the work accomplished in cooperation with others, without friction?

A. Problems in Rating

Top management must define the standards by which supervisors will interpret the standards of a performance evaluation. There are many errors and pitfalls in performance evaluation.

1. The "halo" effect. Supervisors let the rating they assign to one characteristic unduly influence their ratings on all other factors.
2. "Prejudice and partiality." Letting how one "feels" about a person have an impact on the ratings an individual receives. It is an error of judgment and also a constitutional violation to consider race, creed, color, religion, politics, nationality and sex in evaluating work performance.
3. "Leniency or strictness." This is the most common error--taking the easy way out. It occurs when supervisors can't face the unpleasantness that might arise from an unfavorable evaluation.
4. "Central tendency." More people are rated closer to the mean than to any other point on the scale. A standard rating for unusually good or poor performance is unfair--to the employee, his fellow workers, and the institution.
5. "Contrast." Is this rating a measure of the work that this employee has actually accomplished or is it a measure of what I think he has the potential to do?
6. "Association." Rating factors at the same degree merely because they follow each other on the page.
7. "Recency," Appraisal of only that work done recently rather than for the entire rating period.

B. Methods of performance appraisal include:

1. Essay method
2. Ranking
3. Forced distribution
4. Graphic rating scale
5. Behaviorally Anchored Rating Scales (BARS)

C. The Performance Appraisal Review

Appropriate forms are distributed, employee is rated by supervisor, rating is reviewed by supervisor's supervisor.

A performance appraisal interview may help to:

1. Identify problems employee has in performing assigned tasks
2. Plan for resolution of these problems
3. Determine employee's general level of satisfaction with job and with work environment

4. Help employee plan for future personal development and effectiveness

VI. COMPENSATION: SALARY ADMINISTRATION

A salary administration program consists of four parts.

A. Determination of salary.

1. All institutions that pay personnel for services rendered must determine what is a fair and equitable compensation for

a. Education

b. Experience

c. Responsibility required in the job

2. The entry position of professional librarians is the only position for which the job requirements can be accurately described. The entry position usually requires:

a. Five years of education beyond the secondary school with the fifth year culminating in graduation from an accredited library school

b. No professional experience

c. Minimal or moderate end responsibility in job performance

3. Ways to gather information on entry level salaries as well as on other professional level jobs:

a. Special Libraries (now *Information Outlook*),

b. American Libraries,

c. Library Journal (October issue),

d. Salary survey (e.g. ARL salary survey),

e. Evaluating salaries offered in advertisements in professional periodicals.

4. Standards for a salary survey ;

a. The libraries selected must be comparable in size.

b. The libraries must be comparable in community population and institutional enrollment.

c. The libraries selected must represent a geographic distribution covering the U.S.

d. The job level for which salary information is being solicited must be clearly defined.

5. The danger of basing salaries on a survey is that the survey reports only current salaries. Therefore, the salaries of the surveying library will be at least a year behind.

6. Salaries for non-professional library positions are usually determined by the going rate of pay in the community in which the library is located.

B. Development of a Salary Scale

1. A salary scale establishes the amount of money that will be paid for the accomplishment of duties designated in the job description.

a. The scale has a minimum and maximum amount that will be paid for that job.

b. There is no standard for the number of steps to be included on a salary scale.

c. Some salary schedules have non-overlapping salary grades or scales.

d. It is more common to have overlapping scales or grades.

2. There are three principles that should be observed when administering a salary scale:

a. Equal pay for equal work.

b. Not all employees are required to enter a salary scale at the first step.

c. An employee when promoted to a higher position should receive a salary increase.

C. Salary Increases

Increases are based on length of service, merit, or a combination of length of service and merit. Most libraries now use some combination of the two methods.

D. Recognition and Rewards

Employee recognition programs and public rewards for good performance motivate workers, make them feel appreciated, and boost morale and productivity.

E. Fringe Benefits

1. A few fringe benefits are required by federal and state laws as well as by labor contracts resulting from collective bargaining.

a. Social Security Act of 1935, as amended, requires that employers collect a percentage of the employee's salary.

b. Federal Unemployment Tax Act of 1935, as amended, requires employers of four or more employees to pay a percentage of the employees' salaries to the federal government.

c. Workman's compensation, established by state laws- -the employer bears the total cost of this program. Provides for payment to employees for job-oriented accidents or working conditions.

2. In addition to the fringe benefits mandated by federal or state laws, institutions and organizations establish other forms of employee benefits. These can be grouped into four categories:

- a. Group policies including health and life insurance.
- b. Paid time off: rest period and lunch breaks, paid vacations, sick leave, holidays, personal business, etc.
- c. Employee retirement plans.
- d. Employee assistance programs (EAPS) provide referrals for employees with depression, substance abuse, financial or legal problems, etc.
- e. Miscellaneous benefits (e.g., credit unions, travel and moving expenses, job sharing, flextime, and educational tuition refunds).

F. Comparable Worth

Jobs which compare in the intrinsic worth or difficulty with other jobs on the organization or community should be comparably rewarded.

VII. DISCIPLINE AND GRIEVANCES

Discipline is the action taken by an organization against an individual employee when performance has deteriorated or rules have been violated. A grievance system provides a method for employees to deal with problems they have with supervisors or with the organization.

A. The Open Door program of hearing and resolving employee grievances is a traditional way that is more likely to function in a non-unionized organization.

B. In a unionized organization, the personnel policies as modified by union-management negotiation become part of the union contract.

C. A grievance procedure defines:

1. The manner in which grievances are filed,
2. To whom the grievance is submitted,
3. How the grievance proceeds through the organization's hierarchy,
4. Where decision of resolution can be made,
5. The final point of decision.

D. Grievance channels are ways of removing the employee from the direct and complete control of the immediate supervisor. They exist to assure employees that justice is available and can be properly dispensed.

VIII. PERSONNEL POLICIES AND PROCEDURES

A policy is defined as a statement of action which commits management to a definite plan or course of action. A procedure provides the methods for carrying out a policy. They must be written down and clearly communicated to and understood by all employees.

IX. EXTERNAL IMPACTS ON STAFFING:

1. Equal Employment Opportunity

EEO refers to the right of all people to be hired and to advance in a job on the basis of merit or ability.

Civil Rights Act of 1964

Title VII of the Civil Rights Act of 1964 protects employees from discrimination on the basis of race, color, religion, sex, or national origin in all employment practices.

The Equal Employment Opportunity Act of 1972 amends

Title VII and covers:

- A. All private employers of fifteen or more persons,
- B. All educational institutions, public or private,
- C. State and local government,
- D. Public and private employment agencies,
- E. Labor unions with fifteen or more members,
- F. Joint apprenticeship and training.

Civil Rights Act of 1991

Created rights to compensatory and punitive damages and the right to a jury trial for individuals who are victims of intentional discrimination as defined by Title VII of the Civil Rights Act of 1964 and the ADA.

Executive Order 11246 and Affirmative Action

The EEOC requires that all organizations under their jurisdiction prepare and have approved an Affirmative Action Program. The eight steps suggested are to make it clear to employees what is expected of them.

Additional Equal Opportunity Legislation

The Equal Pay Act of 1963 requires equal pay to men and women who perform work which is similar in skill, effort, responsibility, and which is performed under similar working conditions.

The Age Discrimination in Employment Act of 1967 prohibits discrimination because of age against those over forty. Recent amendments removed the mandatory retirement age (except in higher

education).

The Americans with Disabilities Act of 1990 bars discrimination against individuals who have mental or physical disabilities. It applies to public and private employers with 25 or more employees.

Employers must not deny a job to a person if he or she is qualified and able to perform the essential functions of the job. If the person is qualified but unable to perform the functions without accommodation, the employer must make accommodations but does not have to lower existing performance standards if these standards are uniformly applied to all applicants. Qualification standards that screen out applicants on the basis of disabilities must be job related and a business necessity, and any test to evaluate qualifications must reflect the skills of the individual not the impaired skills.

2. Sexual Harassment

Quid pro quo - supervisor demands sexual favors in exchange for employee benefits like raises or promotions.

Hostile Work Environment - employee is subjected to offensive behaviors (sexual jokes or teasing) at work.

3. Unionization

The foundation to labor relations today was in the 1935 National Labor Relations Act (Wagner Act). Librarians have increasingly become unionized.

Forming a Union

Dissatisfied workers may submit to the NLRB a petition signed by at least 30% of the employees, hold elections to determine the desire of all employees to unionize (need majority vote), elect officers, and form committees.

Collective Bargaining

After a union has been certified as the exclusive bargaining agent for a group of employees, management and union must bargain collectively. Managers of libraries must realize that unionization will affect their organizations and their methods of management.

CONCLUSION:

The human resources function is becoming increasingly more important in libraries and information agencies. The staffing function has to have a high priority for every manager for an organization to function efficiently.

CHAPTER 5

"DIRECTING"

INTRODUCTION:

Directing is the managerial function that enables managers to get things done through people by leading

and motivating so that the goals of the organization are achieved. Recent behavioral research provides a framework for managers to assess and improve their directing--not a "one best" method.

Top level management, middle level management, and supervisors must all be familiar with the techniques of good directing. This is difficult because the focus is on unpredictable human behavior.

I. THE HUMAN ELEMENT OF THE ORGANIZATION:

Managers must understand as much as possible about the human element of the organization.

The Hawthorne Studies

Elton Mayo, at Harvard's Department of Industrial Research, 1927-1932, studied workers at the Western Electric Company in Hawthorne, Illinois.

Five conclusions of the Hawthorne Studies relating to directing are:

- A. Employees respond positively to improved working conditions;
- B. Employees respond positively when given authority over work patterns and job behavior;
- C. The informal group can help management achieve its goals;
- D. The informal group needs to be recognized as a constructive force and will develop dignity and responsibility;
- E. The worker must feel needed and welcomed by management.

McGregor's Theory X and Theory Y

Theory X assumptions:

- A. Workers dislike work and will avoid it if possible;
- B. Workers must be coerced and threatened;
- C. Workers prefer to be directed.

Theory Y assumptions:

- A. The expenditure of effort at work is natural;
- B. Self-direction and self-control will assert themselves in workers who are committed to goals;
- C. Rewards of achievement create commitment to objectives;
- D. Workers accept and seek responsibility;
- E. Many people are imaginative and creative;

F. In modern industrial life, intellectual potentialities are under-utilized.

Argyris Immaturity-Maturity Theory

The theory of Chris Argyris is that as people mature several changes take place in their personalities:

- A. People move from passive to increasingly active states;
- B. They move from a state of total dependency to a state of relative independence;
- C. They mature from only limited modes of behavior to capacity of behaving in many ways;
- D. Shadowy, erratic interests change to deeper, stronger interests;
- E. Short time perspective changes to a time perspective which includes not only the present but past and future;
- F. Individuals subordinate to everyone mature to equal or superior positions in relation to others;
- G. Individual lack of awareness of self changes to an awareness of and control over self.

Argyris encouraged organizations to take steps to give employees a chance to grow and mature as individuals on their jobs for the benefit of both the workers and the organization

Structuring the Human Element in Organizations

Davis' four basic assumptions about people for management to consider:

- A. Individual differences do exist;
- B. A whole person is employed;
- C. Behaviors are motivated;
- D. Value of the person is necessary.

A manager's expectations are the key to the performance and development of a subordinate.

II. MOTIVATING:

Managers are able to motivate by providing an environment which induces workers to contribute to the goals of the organization. Motivation is a willingness to expend energy to achieve a goal or reward and is influenced by internal and external forces.

Maslow's Hierarchy of Needs

Abraham Maslow identified five levels of needs:

- A. Physiological (food, water, shelter, sleep);

- B. Safety and security;
- C. Social or affiliation;
- D. Esteem (to be respected);
- E. Self-Actualization (to maximize one's potential).

Since these are seen as hierarchical, by identifying the stage of development in each worker, the manager can better determine what would be a motivating factor for better job performance.

Herzberg's Two-Factor Theory of Motivation

Frederick Herzberg's theory of motivation focused on motivation of employees in a work environment. Two groups of factors were found which contributed to employees feeling good about their jobs.

A. Motivators:

1. Achievement;
2. Recognition by supervisors, peers, customers;
3. Work itself;
4. Responsibility;
5. Advancement.

These factors lead to job satisfaction and motivate individuals to superior performance.

B. Maintenance:

1. Salary;
2. Job security;
3. Status;
4. Working conditions;
5. Quality of supervision;
6. Company policy and administration;
7. Interpersonal relationships.

These factors pertain to the conditions under which a job is performed and do not lead to job satisfaction, but if not present lead to worker dissatisfaction.

Herzberg's model may be most appropriate for managerial and professional workers. Job enrichment leads to better motivated and more productive employees. Because of interest in job enrichment, "quality of working life" (QWL) programs are being instituted by some libraries to improve working conditions and make jobs more satisfying.

Vroom's Expectancy Theory

Victor Vroom's model focuses on individual decision making and the process of deciding whether or not to expend the required effort to achieve a goal. Expressed as a formula the model is:

Force x Valence x Expectancy x Instrumentality

Force: motivational drive to achieve goal

X

Valence: extent of desire for outcome or goal

X

Expectancy: perceived probability of outcome leading to desired result (first-level outcome)

X

Instrumentality: degree to which first-level outcome is related to second-level outcome (some human need)

While Vroom's theory is more difficult to apply in practice than those of Maslow and Herzberg, it more adequately accounts for diversity in motivational needs of employees.

Behavior Modification

B. F. Skinner's theory is based on observed behavior with the emphasis on operant behavior (behavior shaped and modified by its consequences). His four methods of modifying behavior are:

- A. Positive reinforcement--most effective, reward;
- B. Negative reinforcement--termination of something unpleasant;
- C. No reinforcement--extinction of a behavior;
- D. Punishment--adverse event following unwanted behavior.

Several principles from this theory can be applied by managers:

- A. Be sure that employees performing as desired receive positive reinforcement;
- B. Remember that positive reinforcement is more effective than negative reinforcement or

punishment;

C. Negative reinforcement and punishment have serious drawbacks and side-effects:

1. Temporary suspension of behavior rather than permanent change;
2. Dysfunctional emotional behavior;
3. Behavioral inflexibility;
4. Permanent damage to desirable behavior;
5. Conditioned fear of the punishing agent.

How Should Managers Motivate?

Managers have to develop individual patterns based on their personality, managerial philosophy, and knowledge of the workers. Policies of the organization should be such that the employee can do good work.

III. LEADERSHIP:

Some definitions of leadership:

- A. Infusion of an organization with values; molding the social character of the institution;
- B. Interpersonal influence of those in charge to affect the behavior of followers;
- C. Influencing so people will willingly and enthusiastically strive toward the organization's goals.

Leadership transforms organizational potential into reality.

Trait Approach to the Study of Leadership

There is no such thing as a "leader type."

Ohio State and University of Michigan Studies

The Ohio State study identified two independent dimensions of behavior on which leaders differ:

- A. Consideration--the extent to which a leader establishes mutual trust, friendship, respect, and warmth in the relationship between leader and subordinates;
- B. Initiating structure--leader's behavior in organizing, defining goals, emphasizing deadlines, and setting direction.

The Michigan study identified three groups of managers:

- A. Predominantly production-centered managers;

B. Predominantly employee-centered managers;

C. Those with mixed patterns.

The assumption from this research is that many workers like their jobs, want to be productive, and would be if given a share of control over their jobs.

Likert Theory of Management

Rensis Likert presents four management styles depicted on a continuum from System 1 to System 4:

A. System 1 management is exploitative-authoritative

B. System 2 management is benevolent-authoritative

C. System 3 management is consultative

D. System 4 management is participative

Most libraries are at the System 2 or System 3 level.

The Leadership Grid

Robert R. Blake and Jane S. Mouton propose the theory involving two primary elements of the organization: (1) concern for production; and (2) concern for people, represented on a grid to demonstrate the range of possible interactions between them.

A rating of 1,1 is considered impoverished leadership; a rating of 1,9 is considered country club leadership; a rating of 9,1 is considered task leadership; a rating of 5,5 is considered middle-of-the-road leadership; and a rating of 9,9 is called team leadership.

The Leadership Grid is most helpful for identifying and classifying managerial styles.

Fiedler's Leadership Contingency Model

The contingency or situational theorists say there is no single type of leader, but a number of leadership styles may be appropriate depending on the situation. In Fred Fiedler's model, three situational variables determine how favorable any particular situation is for the leader:

A. Leader-member relations--how much do group members like and trust the leader;

B. Task structure--how clear and structured the tasks are;

C. Power position--power and authority associated with the leader's position.

His theory predicts:

A. The task-oriented leader is most effective in situations at either end of the continuum;

B. The production-oriented style is most effective when situations are either most favorable or least favorable for the leader;

C. The human relations or employee-oriented style is best when conditions are either moderately favorable or moderately unfavorable for the leader.

Participative Management

Most libraries do some consultation of employees before decisions are made. Participative management forces decision making down to the level best suited to it, based on the available information and the effect of the decision on the operation.

Japanese Management and Quality Circles

Japanese management makes decisions by consensus, based on the concept that change and new ideas should come primarily from below. They use quality circles (QCs) as the means to make decisions within the organization. William Ouchi has adapted this style to American management and proposes Theory Z (going beyond McGregor's Theory Y). This model includes:

A. Job security and opportunity for advancement to produce strong employee commitment;

B. Use of group dynamics;

C. Shrewd world market penetration;

D. Adaptation of management principles and techniques to the national culture.

The quality circle concept could be adopted by libraries and other service organizations. QC members are trained in techniques of problem solving methods and group processes. Sufficient training and genuine management commitment are required for this style of management to be successful.

Total Quality Management

TQM goes beyond quality circles. It requires a company to restructure with an emphasis on quality from the top to the bottom of the hierarchy. TQM is the latest management fad and is a result of foreign competition.

The Leadership Challenge

Michael Maccoby identifies three types of leaders whose success can be attributed to their style matching the social character of their time in history. They are:

A. Independent Craftsman--late 18th century to Civil War;

B. Empire Builder--paternalistic--post-Civil War to 1950's;

C. Gamesman--control by persuasion, enthusiasm, and seduction--1960's to present.

None of these is appropriate in today's scene. Managers are still left with the task of determining the most appropriate style if they want to be effective leaders.

IV. COMMUNICATION:

As much as 95% of a manager's time is spent in communicating. People are linked together in an organization by this means, and managers must choose the appropriate channels for communication.

Typical models of communication include:

- A. A source--sender of message;
- B. A message--encoded to be understood by sender and receiver;
- C. The channel--link between source and receiver,
transmits message;
- D. The receiver--receives and decodes message;
- E. Noise--anything that hinders communication at any point in the process;
- F. Feedback--receiver becomes a source and provides feedback to allow original source to determine if the information was communicated well.

Gerald Goldhaber says all organizational communication shares these common characteristics:

- A. Occurs in complex open system;
- B. Is influenced by and influences the environment;
- C. Involves messages and their flow, purpose, direction, and media;
- D. Involves people and their attitudes, feelings, relationships, and skills.

Types of Communication

There are three general categories of communication:

- A. Written communication;
- B. Oral communication;
- C. Nonverbal communication.

All have their proper place in an organization and must be considered.

Communication Flows

Organizational communication can be considered to flow down, up, and horizontally.

Downward communication (from superiors to subordinates) is the most common type. Five types of

downward communication are identifiable:

- A. Job instructions;
- B. Job rationale;
- C. Information about organizational procedures and practices;
- D. Feedback to subordinate about performance;
- E. Indoctrination of goals.

Downward communication is often inefficient.

Upward communication (from subordinates to superiors) can play a valuable role in organizational effectiveness. Managers can encourage this type of communication with grievance procedures, suggestion systems, counseling sessions, social gatherings, group meetings, and opinion surveys. New media such as electronic mail may encourage more upward communication.

Horizontal communication (lateral exchange of information) fulfills:

- A. Task coordination;
- B. Problem solving;
- C. Information sharing;
- D. Conflict resolution.

Competition as well as specialization can hinder horizontal communication.

Informal Organizational Communication

Every organization has an informal communication system (grapevine) which tends to be rather efficient at moving information. A manager can use this by feeding it accurate information and by being aware of the messages circulating.

V. THE CONTINGENCY APPROACH TO MANAGEMENT:

Instead of advocating a universal best theory, most contemporary management experts urge flexibility and adaptability to situations at hand.

Howard Carlisle has identified nine variables significant in almost every management situation to be considered when using the contingency management approach.

- A. Internal variables:

1. Purpose of the organization;
2. Tasks involved to attain organization's purpose;
3. Technical content or technology of tasks;
4. Nature of the people;
5. Structure of the operation.

B. External variables:

1. Political and legal forces and institutions;
2. Technological forces and institutions;
3. Sociocultural forces and institutions;
4. Economic forces and institutions.

All nine are interdependent and cannot be addressed in isolation.

Another contingency approach is the McKinsey 7-S framework including these interconnected variables:

- A. Strategy;
- B. Structure;
- C. Systems;
- D. Staff;
- E. Style;
- F. Skills;
- G. Shared values (superordinate goals).

Contingency management suggests a fit between the task, the people, the organization, and the external environment.

CONCLUSION:

Directing is getting things done through other people for the good of the organization. Managers often find it one of their most challenging and important tasks.

CHAPTER 6

“PRINCIPLES OF CONTROL”

Effective control within an organization is dependent upon the types of controls that have been established. Organizations that emphasize control view the manager as responsible for results of the organization.

Control = direction; pertains to an end; concerned with events; analytical and operational; what was and is.

Controls = measurement to provide information; pertains to the means; concerned with facts; deals with expectations.

In academic libraries this sense of control is exercised externally through a governance structure which, in part, acts through: trustees and chancellor or president; faculty library committee; and student library committee.

In special libraries it is exercised through: research division; sales division; manufacturing division; and corporate or company board of directors.

In public and school libraries this is exercised through: city manager or superintendent; and city council or school committee.

External control is also exerted by groups for standards, certification, accreditation; laws of local, state, and national origin; unions; and political bodies.

Internal control of the library rests with management.

I. REQUIREMENTS FOR ADEQUATE CONTROL:

Controls are concerned with locating operational weakness and taking corrective action as well as implementing the planning process. They guide the organization and indicate how progress is being made in meeting goals. The library must establish controls and measurements which demonstrate the value of service to the larger organization of which it is a part.

Controls involve three basic steps:

- A. Establishing standards;
- B. Measuring performance against standards;
- C. Correcting deviations.

Establishing Standards

Standards fall into two basic classes--those relating to material and those relating to moral aspects. If the scientific method is used, standards must be measurable. To be effective they should be acceptable to those whose performance is being regulated.

Measuring Performance Against Standards

It is important to keep accurate records of what is done. Controls which have been used in libraries to measure performance include: personal observation; statistical data; oral reports; and written reports.

1. Feedback control accesses how much the actual performance deviates from the planned performance.
2. Preventative control predicts what will happen by setting parameters.

Cybernetics studies the interaction of communication and control and is now being applied to libraries.

Correcting the Deviation

Once standards have been agreed upon, some sort of analysis must be performed to measure the activity against the standard. The next step is to correct any deviations from the norm by exercising organizational prerogative.

II. TECHNIQUES OF CONTROL:

Evaluation

The evaluation process identifies areas needing improvement with an aim toward corrective action and should be an ongoing review of the operations. The computer is becoming an invaluable aid to decision making.

Management Information Systems

MIS are technological tools to gather, summarize, and present data to improve efficiency and effectiveness and measure the output of services. These must be reviewed. Examples are PERT and MBO.

Cost benefit analysis is a technique of choosing from alternatives when measurement in dollars or other specific measures may not be enough or even possible. It asks, "Which is the BEST way to perform an operation?"

Motion study enables a library system to record in flow chart form the present method of doing something.

Operations Research

Operations research (OR) today is largely identified with specific techniques. It is an experimental and applied science devoted to observing, understanding and predicting the behavior of man-machine systems and applying this knowledge to practical problems. It is the use of scientific methods of planning and controlling changes in the organization. Its purpose is to assist decision makers in choosing preferred future courses of action by systematically identifying and examining the available alternatives and predicting the possible outcomes.

In libraries OR normally operates in four stages:

- A. Description of the system being considered;
- B. Measurement;

C. Evaluation;

D. Operational control.

There are limits to this approach:

A. Quantitative method can be no better than the assumptions and estimates used in it;

B. Not adaptable to all situations;

C. Process can become very elaborate and costly;

D. Does not emphasize human factors enough;

E. Demands knowledge of mathematics and statistical concepts.

One OR technique is linear programming which requires:

A. Goals stated in mathematical terms;

B. Alternatives available and stated;

C. Resources usually limited;

D. Variables be interrelated.

Other techniques involve: queuing theory, Monte Carlo, and decision trees.

PERT

One technique of control in the planning process highly applicable to libraries is PERT (Program Evaluation and Review Technique), sometimes called Critical Path Method (CPM), involves:

A. Identify key activities in a project;

B. Devise the sequence of activities and arrange them in a flow diagram;

C. Assign durations of time for performance of each phase of the work to be done.

The biggest disadvantage of PERT is overemphasis on time and almost no attention to cost.

III. BUDGETARY CONTROL:

The budget is the best and most important control device to measure library programs and their effectiveness. In libraries budgeting is the primary means by which formulated plans can be carried out, and there are 2 types of budgets: operating and capital. Most support comes from the parent institution and is usually based on expressed needs justified by services offered or projected, or on standards.

Libraries tend to base current budget justifications on past budgets as a floor, leading to automatic

reductions in library budgets by city managers, college presidents, or school superintendents. Usually a library must follow the budget system and budgeting cycle that has been adapted by the larger system. Timetables for preparation and presentation are essential. Today, many libraries are being forced to find additional, alternative funding.

IV. BUDGETING TECHNIQUES FOR LIBRARIES:

Library budgeting techniques include both traditional approaches and more innovative techniques.

Line-Item Budgets

This is the most common type. It divides objects-of-expenditure into broad categories.

Advantages:

- A. Easy to prepare;
- B. Easy to understand and justify.

Disadvantages:

- A. Items designated to such a degree that shifts are difficult;
- B. Transfers require too much paper work and red tape;
- C. Requires no evaluation of services and no projections of future accomplishments;
- D. Almost no relationship between the request and the objectives of the organization.

A primitive variation is the lump sum approach in which a certain dollar amount is allocated, and it becomes the responsibility of the library to disperse the allocations internally. This seems more flexible but does not relate objectives to services.

Formula Budgets

Formula budgeting uses predetermined standards for allocation and is popular because:

- A. Mechanical and easy to prepare;
- B. Applicable to all institutions in the political jurisdiction, so appears to be justification for monies requested;
- C. Sense of equity because each institution is measured against the same criteria;
- D. Fewer budgeting and planning skills are required;
- E. Facilitates inter-institutional comparison;

- F. Facilitates comparisons from year to year;
- G. Reduces paperwork;
- H. Eliminates extraneous details;
- I. Provides systematic, objective allocation technique;
- J. Connotes mathematical infallibility.

These formulae, expressed in terms of a percentage of the total institutional cost, focus on input rather than activities.

Program Budgeting

Program budgeting is concerned with the organization's activities and emphasizes library activities. Dollars can be assigned to programs or services provided.

Performance budgeting bases expenditures on performance of activities and emphasizes efficiency of operations. It requires accumulation of quantitative data over a period of time. Aspects of economy overshadow service aspects, and costs are presented in terms of work to be accomplished, thus measuring quantity rather than quality of service.

Planning Programming Budgeting System (PPBS)

Many complex organizations use PPBS which combines the best of program budgeting and performance budgeting. The emphasis is on planning. The steps are:

- A. Identify the objectives of the library;
- B. Present alternative ways to achieve those objectives with cost-benefit ratios for each;
- C. Identify activities necessary for each program;
- D. Evaluate the result so corrective actions can be taken.

The crux of this system is the selection of appropriate criteria for evaluating each alternative against relevant objectives; it combines the functions of planning (identifying objectives), translating that to a program (staff and materials), and finally, stating those requirements in budgetary terms (financing).

The required detailed examination is time-consuming, cumbersome, and requires goals, objectives, and activities to be stated in measurable terms and then mandates the follow-up of measuring the results.

Zero Based Budgeting (ZBB)

This newer technique is not concerned with what happened previously but with what is required in the future. It emphasizes planning, fosters understanding of the total organization, identifies priorities, and then states it in terms of cost. Each unit of the budget is justified and placed in a hierarchy. Two important steps are:

- A. Identify "decision packages" which should be the lowest unit for which a budget can be prepared.
- B. Rank "decision packages" by setting priorities within each unit of the organization to force decision making as to the most important activities within that unit.

Developing Techniques

Allocation Decision Accountability Performance (ADAP) combines aspects of PPBS and ZBB. Three budgets are submitted. Administrators identify whole programs that could be eliminated, and then they can eliminate those that have continually poor performances.

Other new techniques are more useful in for-profit organizations.

Software Applications

Many libraries use computers and spreadsheets to prepare budgets.

V. ACCOUNTING AND REPORTING:

The process of keeping accurate records of what has been disbursed, what has been encumbered, and what remains has been greatly enhanced by the introduction of electronic spreadsheets on microcomputers. The monthly summary statement, or balance sheet, is used in most organizations.

Along with accounting goes reporting to the funding authority, to the staff, and to the community. Public relations is the library's primary means of gaining and holding support to develop programs.

CHAPTER 7

"CHANGING LIBRARY AND INFORMATION SYSTEMS"

I. IMPETUS FOR LIBRARY CHANGE

Drucker maintains that changes which have affected many organizations are those relating to:

- A. Introduction of new technologies, which will create new industries and render existing industries obsolete;
- B. Emergence of a world economy that involves a world market;
- C. Development of a changing political and social matrix involving disenchantment with major institutions;
- D. Creation of a knowledge economy in which half of funds available are spent on procuring ideas and information.

Economic constraints and technological developments have produced intertype and intratype cooperative efforts in most technical and public services areas of libraries. The interactive system organizations are moving away from authoritarian hierarchy to smaller groups in which people manage themselves. Managers should be more like teachers, coaches, mentors, or developers of human potential. Commitment to change is a continuing process.

Two basic categories of change:

- A. Unplanned--often disastrous;
- B. Planned--brings renewal or recommitment; deliberate progression toward renewing the organization.

II. THE LIBRARY AS AN OPEN SYSTEM

Change is fostered by both the internal and external environment. Several variables include:

- A. Direction--the purpose of the library and its responsibility to the community;
- B. People--the most important resource, includes attitudes and motivation;
- C. Structure--of the whole organization;
- D. Technology--with its influence on output.

The library is basically an open system that transforms information and outputs it to the environment through subsystems which respond to the change cycle.

Resistance to change can occur because:

- A. People do not understand or do not want to understand;
- B. People have not been fully informed;
- C. People's habits and securities are threatened;
- D. People are happy with the status quo;
- E. People have vested interests and definite perceptions of what is needed even if they agree that change is necessary;
- F. Rapid change causes greater strain on the organization;
- G. Rapidly changing technology and societal conditions render the individual obsolete.

Changes that affect libraries and resistance to those changes, either on the part of library managers or other librarians, follow the same pattern as changes in society in general.

II. LIBRARY MANAGEMENT CHANGE

Trends, theories, and techniques introduced in the management literature have slowly found their way into libraries, particularly in this century. Major research journals and monographs on librarianship make it clear that management topics are receiving increasing attention.

The unit that is contributing the most, on a continuing basis, is the Association of Research Libraries through its Office of Management Studies which issues SPEC (Systems and Procedures Exchange

Center) pamphlets and kits and which developed MRAP. Its University Library Management Studies Office publishes "Occasional Papers" on relevant topics.

Theories developed by different researchers (scientific management; human relations; quantitative) are being widely applied to library operations today.

THE CENTRAL RESOURCES: SELF AND TIME MANAGEMENT

[This started out as a set of notes for a class lecture. As time for the lecture was not available, I fleshed out the outline into a more readable, but still condensed, form.]

It becomes increasingly clear in the 1980's that two forces in American life are converging. On the one hand, we have a virtual fetish with productivity in American business and industry, and on the other we have an accelerating concern with personal development. A lot of the latter has to do with being in better physical condition, being a better public speaker, a better writer, a better thinker, a person with more technical skills, broader interests and abilities, and one who can do more things well than ever before and be happier than you can ever imagine while doing them!

Both these forces, or trends, relate to management. On one side, we are managing industrial or business resources, and on the other we are managing our own personal resource--our time and our energy. Both resources are important, but here let's take a look at self management and time management and see perhaps how that relates to organizational goals such as productivity.

There are a number of organizations and seminars which deal with this topic. One seminar, that by National Career Workshops, is called "How to Get Things Done." Another by Career track Seminars is called "Getting Things Done." There are literally dozens, perhaps hundreds, of books on this and similar subjects. One of the best known is Alec MacKenzie, The Time Trap, published by McGraw-Hill. There are also many audio and video tapes available, such as that based on Kenneth Blanchard and Spencer Johnson's book, "The One Minute Manager."

There are well known and effective speakers on topics such as setting goals of a personal nature. One of the best known speakers of an inspirational sort on goal setting is a gentleman named "Zig" Ziegler. He does many seminars, and there are audio and video tapes of his presentations. While his methods are as corny as many of his stories, his message is worthwhile.

It would be easy either to overemphasize these considerations or to wholly discount them. I would recommend rather that you give serious consideration to matters such as personal goal setting. I believe that goals should be set and followed daily with a "things-to-do" list, established weekly, yearly, for a five-year period, and for ten years at a time. I think you will find corporate America more and more insists on organizational behavior along this line, and I believe that you will find yourself more productive, confident, and satisfied--if not enormously wealthy--if you follow suit. One can do these things and do them well; I only wish that I could follow my own advice as consistently as I give it to other people. I would probably be head of a large something or other by now if I did.

Why are you not getting more done? It is a myth that "no one ever has enough time." The fact is that we have all the time there is. We all have 1,440 minutes a day; no one has any more than that. That's all there is. The point is that we must use it wisely. It is a myth that "there are many ways to save time." The fact is that we cannot save time. We can use it or lose it; we cannot bank it. It is a myth that "the longer you work, the more you get done." The fact is that is "time at work is a measure of input; results measure output." It is a myth that "productive people work harder than others." The fact is that "working smarter rather than harder" is the key to results. Frankly, it is easier to capture minutes rather than large

blocks of time, but if with proven techniques you could regain 3 weeks worth of time from the average 250 working days in a year--and you can--you would want to give it a try.

Smart workers, for example, have learned how to "reduce their variables." There are thousands of examples of variables. For instance, cheap Scotch tape cost less but is actually more expensive since you spend more time trying to get the tape to pull up and stick on each time so that you can use some. Maytag reduces variables by making very well their washing machine so that their under-warranty repair rate (a variable) is low. Some men reduce their variables by owning only white shirts and all black socks, so that they do not have to take time to match up clothes, to wonder what goes with what--they're all the same, so it doesn't make any difference. Don't do "miscellaneous" activities (e.g., meetings) during your most productive time of the week. Friday afternoons are typically unproductive, so use it for meetings. This is but one way of "reducing variables."

In the same vein, it is useful to learn how to take advantage of "the Law of the Slight Edge." This means that a little can make all the difference. For example, use the time that you have commuting between work and home or work and school and home to listen to learning tapes; this makes better use of your time and gives you a slight edge. Everyone knows that we work better with a good breakfast, so have a good breakfast to get a slight edge. For most people "power hours" are from about 9:00 in the morning until 2:00 in the afternoon. Make use of this knowledge to be more creative. Give yourself an edge by scheduling the most important and creative activities for your "power" times. Be aware of your own habits such that, for example, if you know that you need eight hours of sleep to function at your very best (vs. six hours), then give yourself the edge by scheduling eight hours of sleep. (And, obviously, don't drink coffee at night.)

Here are twelve reasons why people don't get more things done. You can't always control these, especially when they are of an external nature, but you can work on those that relate to internal matters:

1. Unclear goals 96% of problems of business are said to be due to unclear goals. The boss, for example, has goals A, B, C; you have C, D, E; and this lack of match wastes time and energy.
2. Lack of priorities--it is well known that successful persons have written goals, but only 3% percent of all workers do this. 86% of people have no goals at all--written or otherwise.
3. No daily plan--working without a plan for each day is like a shooting at a basketball goal with no hoop. What's the point?
4. Attempting too much--many of us are afflicted with the inability to say "NO." You can change that.
5. Perfectionism--the ability to reduce variations in skating routines leads to "10" scores on the part of skating champions. In other words, get it down pat--that which you do often. Excellent coffee, for example, is made precisely the same way every time. There is only one way to do it perfectly. Find that way, and repeat it every time.
6. Personal disorganization--it is said that four weeks of working time is lost each year by the average manager who has lost or misplaced papers that are necessary to his or her work. The obvious remedy here is "get organized."
7. Snap decisions or indecisions--a key to time management is making decisions based on rational thought and planning and then following through on them. Wallowing in indecision wastes time!

8. Crisis management--the biggest problem in time management is interruptions. The second biggest problem is so called "crisis management," a contradiction in terms. If there is going to be a crisis, it should always be you that defines what a "crisis" is--not other people. Better than having a crisis is to set aside for work every day something(s) that do(es) not have to be completed that day to reduce future time binds and crises.

9. Ineffective delegation--many people do not know the principal of delegating to the lowest level of management possible. Thus, they wind up doing a great deal themselves that others ought to be doing. Delegating is not "passing the buck."

10. Interruptions--in person or by telephone--define when you can be interrupted; e. g., when a client is waiting to see you.

11. Meetings that cost too much and produce too little--53% of managers' time is said to be spent in meetings, and only 3% of their time is spent in goal planning and problem solving. Obviously, these two percentages ought to be reversed, so spend less time in meetings.

12. Procrastination--planning to do something on Monday and letting it slide until Tuesday or Wednesday is procrastination. This kind of behavior, repeated over and over again, produces self-dissatisfaction and guilt and reduced productivity.

Again, it cannot be over stressed that it is important to set goals. **Only the unmet need motivates.** A consistently met need ceases to motivate. Having goals sets up a condition of unmet needs, and this is where you want to put your planning emphasis.

In setting goals you have to ask yourself "where are you going?" What results do you want? There is little point, for instance, in learning how to do better what you shouldn't be doing at all. Concentrate what you really want rather than on specific behaviors. For example, the FBI went from a "most wanted list" to "The 10 Most Wanted" list. In other words, reduce the number of goals on your consciousness to those on which you can focus at any one time. Never, for example, have more than three goals to focus on at once. (You should certainly have more than three but have only three before you to consider at any one time.)

Areas of goal setting include:

1. Recreation
2. Family
3. Social life/community
4. Financial goals
5. Health
6. Education
7. Spirituality
8. Career

9, Work/current job

10. Other

Goals should be:

1. Specific (dated)
2. Concise
3. Measurable
4. Stated positively, and in writing
5. Personal
6. Realistic
7. Flexible

To be successful at setting goals and achieving them, your goals must be specific: exactly what, exactly when (or by when), and exactly how much. For example, you might have as a goal to lose 15 lbs. by January 23rd. "Losing weight" is not a goal, then, in the sense it is not specific.

Zig Ziegler's approach involves:

1. Writing down the objective/identify the goal.
2. Writing down the time expected to achieve the goal (e.g. "by October 3," "in 25 days").
3. Making a list of obstacles that must be overcome.
4. Making a list of persons, groups, organizations needed to help achieve that goal.
5. List the skills and knowledge needed to achieve the goal.
6. Describe in writing a plan of action needed to achieve the goal.
7. Make a list of benefits to be gained by achieving the goal.

We need some larger, long-term goals and some that are smaller in scope. We should have two goals to work on every day.

It might help to reduce knee-jerk concerns about past failures to remember that it does not matter what you have done in the past; now is all that matters. A handy little mnemonic is Success FACTOR; FACTOR = Focus Attention Consciously Toward Objectives and Results.

The relationship between personal goals and work goals ought to be obvious. Confucius supposedly said "choose a job you love, and you will never work another day in your life." People with full calendars are

seldom sick. Making a list of things you don't want to do may help you achieve recognition of what you do want to do. If what someone else wants you to do and take your time with is not part of your goal system, then say "no." Better yet, share a written priority list with you boss and others who are likely to put new demands on your time. Let them know in advance what your goals are.

Sometimes it helps to set up meetings, or "appointments," with yourself so that you will have time to do what's necessary to execute your goals. Based on your goals, you probably need to set up appointments with yourself on a daily basis. If someone wants you to attend a meeting that conflicts with one of your appointments with yourself, which meeting is more important? Attend that one if possible.

Part of developing and executing goals involves developing your own personal time budget. If you want something to happen, you have to make a place for it to happen. Therefore, you need a written, easy-to-understand itinerary. This can be done with a variety of planning aids that are on the market. One of the most popular and successful types of personal aids are the series of calendars and related planning documents developed by the Day-Timers Inc., One Day Timer Plaza, Allentown, PA 18195-9986 (215-395-5884 for catalog). (Some of their products you may see on display in airports.) Part of what they provide is appointment books, but they also provide in their various formats of materials the ability to set up and follow a daily, weekly, or monthly plan, and to set up and track goals. Choose a Senior Day-Timer or larger; the Senior format can be put in the inside pocket of a man's coat or in a woman's purse. (The Junior format will not support some Day-Timer options.) Some people who use computers regularly find that utility software such as "Sidekick" by Borland, with calendars, outlanders, etc. can be very helpful. Other devices which are of a project management nature include a ring binder based system which uses cards; it is called the "Executive Scan Card System." This approach allows you to track visually a number of different projects and the stages for each project and what needs to be done next. All of these tools, guides, aids are very helpful but only if you use them effectively and consistently.

Here are some practical steps you can take to manage interruptions. When it comes to drop-in visitors, those without appointments, have visitors screened, meet them outside of your office, confer with them standing up, set a time limit to the visit, and have a secretary monitor visits as to preset times ("I'm sorry, Mr. Jones, but you have to leave for your next appointment.") When a person comes to your office door and says "we have a problem," then he/she wants to give you part or all of the problem, the monkey off his/her back. Don't do it. Don't take any papers from them that they want you to look at. If you take a report, a letter, a memo, a document, then you are allowing them to give you a part of the monkey from their back. When a person drops by to visit or calls, you can say such things as "I've got two minutes now or more time later; which would be best for you?" Appointments work best when people respect them. Some management-level people will allow a person with an appointment to be 10 minutes late without an excellent reason; if there is not a good reason, the appointment is canceled on the spot.

In dealing with colleagues and subordinates, meet regularly for specified amounts of time and use a clock that everyone can see so that no one has to look at their watch and every one knows how much time remains. Agree on a "quiet time" in the offices when there will be no interruptions. Authorize a secretary to handle appointments. Go to a subordinate's office; don't let them come to your office. Books on intimidation say always to meet in your office to gain the upper hand. You will lose the upper hand as far as time is concerned if you let someone settle into your office and take up more time than is necessary. Close your door when you need to concentrate; this should give appropriate "nonverbal" signals.

Find a hideaway for planning. Planning is done best away from the office anyway. You need a place to retreat to even if it is only over coffee at a rear table at Shoney's or some other restaurant. Always separate planning time from activity time. As anyone knows who has done it, good planning can save

many hours on a project.

Managing interruptions on the telephone can be done. You could disconnect the phone, or forward all your calls to a secretary or another office as needed. Remembering that because time is "dropped," or lost, in going from one activity to another, you should group calls and make them one after the other, particularly during a period of time when you think people will be available and when your time is not needed for more valuable activities but not during your power hours. Make phone appointments for call backs. In other words, tell them when to call back for a longer discussion, or ask when you should call Mr. X in order to get him for a phone discussion. In other words, treat phone calls like meetings with appointments. Use your secretary efficiently and have calls screened.

Make effective use of the time that you spend on the telephone. Plan your calls in writing--make an outline. Avoid chit-chat (be social after work). Get to the point--assertively. Don't say "how are you?" but say "what can I do for you?" Stand up while you are talking so as to not get overly comfortable in your chair and with the conversation.. Give a stated time limit to each call: "I'm sorry, Bill, I can only give you 5 minutes right now before my next appointment." Develop a set of verbal gestures to "sign off." For example, "Gee, Ed, I've over scheduled myself today. Can I call you later?" Or "Nancy, my 3:00 appointment has just arrived." When you do certain things, such as calling the person's first name, or summarizing actions to be taken, the other person ought to know that the conversation is coming to an end. If they are so insensitive that they don't, they aren't worth worrying about. If you cannot get the person off the phone, then hang up while you are speaking in mid-sentence so that you do not hang up on them but can pretend that the connection was broken accidentally. If this happens near the end of the conversation anyway, they probably won't call you back. (The worst "gag" along this line I ever personally pulled was to tell a very pesky and insensitive caller that my trash can was on fire--and then hung up!)

Some colleagues of mine have trouble cutting off person-to-person conversations in their office. There are verbal cues that most people recognize as signals to leave: "Well, Anne, I'm glad you could drop by; it was really good to see you again." The universal sign that a meeting is over is when the host rises from his/her chair. If the other person is too dumb to know that, take him/her by the arm and move to the door! If you don't want to get engaged in a conversation with passers by in the office or hallway, avoid eye contact.

How do you get your money's worth from meetings? First, avoid meetings during "power hours." Then, calculate the direct and indirect costs associated with a meeting. How much, for example, are you willing to spend for the anticipated results? For example, if you think you are worth \$100 an hour, then it costs you \$100 to watch "LA Law." Is it worth \$100 to you? Define the purpose of each meeting and advise participants of your expectations.

Be organized before a meeting occurs. Be sure for example that the meeting and tying up the time of participants is worthwhile and that the objective cannot be handled any other way. What is it that you want from the meeting; what subjects will be discussed; who has input that will be of value?

Be selective as to who comes, so that if they have a role they can do what they need to do and leave after performing their function. It is ridiculous for someone who does not need to hear the whole meeting to have to sit through an entire meeting to make a five minute report near the end of the meeting's agenda. This is not a good use of anyone's time. The greater the number of people at a meeting, the longer the meeting will tend to take. It would not be out of line if, having made your contribution to the meeting that you indicate to the chair that you are going to leave "unless I can make a further contribution."

You must have an agenda for the meeting and an indication of when the meeting will begin and will end. I'm not sure that I would be willing or should be compelled to attend a meeting which has not purpose stated in advance. If an agenda is not offered in advance, ask for one.

In Robert's Rule of Order, no motion takes precedence over the motion to set the time for the adjournment of a meeting. Why do you suppose that is? Start and stop meetings on time. Reward the people who have arrived on time by not wasting their time as opposed to waiting for the sluggards who have no respect for others' time and arrive late--often to imply how important and busy they are.

The meeting must be firmly chaired and refereed as to differing points of view and to keep the meeting on the subject and on schedule. The chair is responsible for reducing "side discussions" to a minimum. Unless there is compelling reason to the contrary, meetings should follow Robert's Rule of Order, of which there are many editions, including one which uses cartoons to clarify the somewhat archaic language.

Summarize and communicate the sense of the meeting at the end of it before leaving to be sure that everyone has the same understanding. Minutes of meetings should be received within 48 hours. There should be charted and distributed a "meeting action plan" showing who will do what and by what deadline as a result of the meeting that was held. Cut the frequency of meetings in half; cancel unnecessary meetings.

People do not know how to deal with being told "no." Knowing when and how to say "no," however, is extremely important. First: listen. Then, if necessary, say "no" immediately and give your reason or reasons. Preferably with alternatives. "No" is a position, not a decision. 80% of sales are made (closed) only after five sales calls--that is five times when the sales person was told some form of "no." Don't take "no" for a decision; e.g., "No, but ask me again after Labor Day; things may have changed by then." Send people away with a "no" as needed, but try to give them a lead to some else if that's appropriate.

It is important to recognize when "good enough" really is "good enough." You must put a parenthesis around your time. Go for "better," not "best." Use the Law of Slight Edge. Go for improvement rather than dramatic results. The Dunkin Doughnut company sets standards to improve service (e.g., they throw out coffee eighteen minutes after it's made--to prevent the customer ever encountering stale coffee). They accept the fact that coffee can be made only so good, but the taste can be kept at a level of excellence.

One way to keep an edge is in the area of TV watching. As one of the worst offenders in this area, I can testify that watching can help you escape from yourself and others, but it cannot help you do anything productive. Surely, most of us have a better use for our time.

Another area of personal productivity is in the area of personal organization. Personal disorganization can destroy you. You need to develop personal checklists for: travel, chores, clothes, etc. A person's desk should be to work on, one thing at a time, not to hold things. A good philosophy in handling paper coming to your desk is to try to handle it only once. That is, toss it, file it, delegate it, act on it, or put it in a follow up, or tickler, file. When possible use a rubber stamp of your own design to show the following on every document: when it was received, how to file it, and when to throw it away, and who gets copies.

Individuals in offices need several different kinds of files. A type of file which is often overlooked is called the tickler file. That is a special file arranged by month and then within month by day, such that when in the course of following up you need to call or write someone you will have already put a note in

the tickler file for the appropriate day and month so that when that day and month comes, your memory will be "tick led," and you will take action. Some personal-assistant computer software will provide you with a tickler system. It is a good idea to keep chronological files, which are copies of letters in reverse order by date so that when others are following up you can find them quickly even though copies of these letters are filed by subject in other places.

Organizations and individuals can use Gantt charts for projects and projects within projects. These can be highly detailed and can be created today by using computer software specifically designed to develop Gantt charts--one is distributed by PowerUp! Co. These charts will allow you to keep "massaging" elements of any project. For example, the chart will show you that you need to send in a purchase order on a given date and then on another given date in the future, say four days later, you should call to be sure that they got the P.O.

Part of working smarter and making better use of your time is controlling and managing your associations. It has been said, for example, that "in five years time you will be the product of the people you hang around with and the books you read and the programs you watch and the classes you attend." This is all a part of conditioning. We need to overcome negative prior conditioning and in order to do this we must act and make choices at a more conscious level.

As one looks at the functions of management and reviews the functional area called planning, he sees that each organization must have a mission, goals related to the mission, objectives related to the goals, activities related to the objectives. There's absolutely no reason why an individual cannot behave in the same way and get the same good results that can be achieved through effective corporate planning.

Another aspect of programming is to work on our memory. Good advice would be: write it down, repeat it, listen, look, write notes. None of this comes naturally, so do it self-consciously.

Make use of special techniques. For example you can have personalized three-part NCR (i.e., carbonless) "speed letters" which allow you to write a message to a colleague or subordinate, keep a copy of that message send the other two parts to the person addressed. The form gives them space on which to write a reply, then keep a copy for themselves, and last send the third part back to you with their response. Reply in handwriting on the original document sent to you if your reply is short enough. Make a copy of the original with your reply for your files. Why spend time and money on writing a formal separate reply?

Learn how to dictate letters and reports onto tape rather than writing them out in long hand. Research by organizations like the Dartnell Institute in Chicago shows that there is no question that dictation on tape can make both the principal and the secretary more productive. Call if possible instead of writing. Use abbreviations in internal documentation. Let your secretary compose responses to letters.

If you have a slow reading rate, use your finger to speed your pace or use a piece of paper to force you to move faster through written material. Use a highlighter to mark what is important to you the first time through reading it so you won't have to "hunt" it again. When you are reading an important book that you have purchased, you can take a razor blade and cut out the pages, punch them for a three ring binder, put them in the binder, and remove several pages at a time and put them in your coat pocket for reading in spare moments, on trips, etc.

Clutter costs time. Sometimes hours a day can be wasted looking in piles for needed items. Get rid of junk. Throw away everything you can out of your office. Use a small cassette recorder, such as the type used for dictation, for recording ideas as they occur to you regardless of where you are. Keep your "to-

do" list with you all the time so that you will always know what's coming up next. Avoid taking notes on various scraps of paper; consolidate all such jottings into one place, such as a Day-Timer.

Plan each day's activities the proceeding evening. Plan each week's activities the proceeding Thursday. There are hundreds of tips and ideas like this. They will not work for everyone in the same way. They will not work for anyone who will not try them and follow them consistently. You are responsible for your own development and your own education. You must keep growing and have a plan as to how to do that. "Your vision must exceed the activity of the moment." You must keep paying attention to sharpening and expanding skills so that they--and you--do not become obsolete. On this score, Will Rogers suggested that "even if you're on the right track, you can get run over."

You can chose to be active with your time and energy or to be passive with it. The same amount of time will pass either way. It is almost as easy to take charge of your life and do what you want as to let someone else--or circumstances--do it for you. **Your life, your choice.**

J. Michael Pemberton, ed. and comp.

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