Assessment

A Core Competency for Library Leaders

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This article is a revision of a presentation given at the Libraries in the Digital Age Conference, May 25–29, 2004, Dubrovnik and Mljet, Croatia.

his paper examines the use of assessment data by library deans and administrators and asks whether assessment is a core competency for library leaders. The literature is filled with lists of competencies for librarians and information specialists but contains little specifically on the core competencies required of library leaders such as directors and upper-level administrators. Several authors have identified "managerial competencies." Hernon, Young, and Powell have identified "attributes" for the next generation of library directors.2 In her 2001-2002 research, Beck examined the impact of assessment on library management decision making in nine Association of Research Libraries (ARL) libraries in the United States and Canada.³ Beck learned that library directors believe that one of the most important core competencies needed today is the ability to measure the impact of libraries and librarians on higher education and to incorporate assessment data into decision-making processes. This paper replicates Beck's study in a small sample of United States academic libraries that are not ARL members. It tests whether Beck's method can be applied to smaller libraries and whether library leaders in those libraries identify assessment as an important core competency.

Since the early 1990s almost every profession, including library and information science, has been clarifying, documenting, and communicating its competencies. Competencies are roughly defined as a specific range of skills, abilities, or knowledge that enable or qualify someone to perform a particular function or to carry out selected responsibilities.⁴ The impetus for the core competencies movement was a 1990 article by Prahalad and Hamel in the *Harvard Business Review*.⁵ The authors suggested that successful organizations understand and exploit their core competencies or capabilities. These organizations know how to use their competencies not only to solve current problems but also to plan for the future.

Competencies form the very foundation of a profession. Competencies are also the basis for professional growth and performance measures. Prahalad and Hamel offer three tests to identify a core competency: a core competency should provide a long-term strategic advantage,

contribute to the perceived customer benefits, and be difficult for competitors to imitate.⁶

Core Competencies in Libraries

Prahalad and Hamel inspired an outpouring of articles in the library literature on core competencies for librarians in general and on competencies for specific library jobs or for specific types of libraries. Fisher observed a continued interest in the competencies as demonstrated by the everincreasing number of articles in the published literature since 1990.⁷

A review of the literature of core competencies in libraries reveals ambiguity and confusion over the definition and nature of "competencies." Some authors confuse "competencies" (skills and knowledge) with behavioral characteristics or personality traits. Fisher suggests there are "professional competencies" (skills and knowledge), "personal competencies" (traits, attitudes and behaviors), and "educational competencies" (obtained by the study of a body of knowledge). For the purpose of this paper, the authors maintain that competencies are skills and knowledge that can be learned and can be measured.

Ratzek, writing in the context of post-communist Germany, describes seven types of competencies for service-driven libraries: methodological (library task specific), academic (specialized knowledge), social (customer orientation), cultural, business administrative (cost-benefit analysis, personnel management, and marketing), value-adding, and technological (IT, networking, and electronic media).⁹

Giesecke and McNeil provide an overview of the literature on core competencies for all librarians. ¹⁰ They describe the process used by the University of Nebraska-Lincoln Libraries to develop a list of twelve library-wide competencies that are expected of all library staff. They include "personal attributes" in their definition of core competencies and suggest that competencies must relate to the goals, objectives, and strategies of the organization.

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19, no. 3 Summer 2005 125

Like Giesecke and McNeil, Grealy describes competencies for academic librarians. ¹¹ In addition to lists for generalists, a number of authors have developed competencies for specific functions or types of libraries. They include acquisition librarians, information professionals, law librarians, medical librarians; music librarians, public librarians, reference and user services librarians, and special librarians. ¹²

Core Competencies of Library Leaders

What are the core competencies of library administrators? The literature contains few articles written specifically on core competencies for directors or other administrators. There are lists of roles played by or tasks performed by directors and assistant directors. Brown identifies "competencies" for library managers and supervisory staff. Corbus lists "qualities" that hiring agencies should look for in prospective public library directors: vision, resource-fulness, team building, accountability, interpersonal skills, political savvy, judgment, entrepreneurship, and consensus building. Mahmoodi and King identify competencies and responsibilities for "top management teams." ¹⁶

The most recent attempts to define competencies of library leaders are the studies conducted by Hernon, Young, and Powell to identify "attributes" (knowledge, skills, and critical competencies) for the next generation of library deans and directors in large academic and public libraries. They found a close correspondence between the attributes of leaders in all types of libraries. They developed a list of these attributes by reviewing the literature and job ads and asked directors of ARL libraries to add to this list the qualities that they considered most important based on their experience. Based on interviews with selected directors, the researchers grouped the qualities into the following three categories: management attributes, personal attributes, and general areas of knowledge. Next, they asked the directors to rank the attributes by importance.

Hernon, Young, and Powell expanded their study to directors of Association of College and Research Libraries (ACRL) libraries and medium- and large-sized public libraries. ¹⁹ They asked these directors to review the list and rank the attributes within each of the three categories mentioned earlier.

Is Assessment a Core Competency?

In her 2001–2002 study of library leaders, Beck concentrated on one attribute or competency of these leaders: assessment.²⁰ Beck, head of public services at Rutgers University-Camden, interviewed fifty-nine library administrators at nine ARL libraries in April and June 2002. She limited her study to public ARLs that had participated in the LibQUAL+ project. At each library she met individually

with the chief officer (dean, director, or university librarian) and had a group meeting with other top administrators (assistant directors, assistant university librarians). She asked both groups a series of questions about accountability, library organization, service evaluation, planning, decision making, and assessment tools.

She administered two survey instruments: Culture of Assessment and Factors in Decision Making. The library administrators who were surveyed employed data for planning and setting organizational priorities. They used data such as formal assessment, survey results, and anecdotal information to develop policies, allocate staff, and build collections. Beck also found that administrators gathered and used data for decision making in all areas of the library: collection use data, survey data, economic information, departmental needs, shelving and interlibrary loan statistics, user needs, and building use. She concluded that the degree to which a library administrator uses assessment data for decision making is related to the administrator's philosophy of leadership, need for information, personal interest in assessment, local organizational culture, and pressures from the parent institution.

Beck found that the ARL library directors interviewed in her study believe that one of the most important core competencies needed today is the ability to measure the libraries' impact on higher education and to incorporate assessment data into decision-making processes.

The Case Study

The authors wanted to learn if Beck's method and instruments could be used in other types of academic libraries (ACRL, Carnegie MA I libraries) and if her conclusion that assessment was an important competency for library leaders was true only in ARL libraries or in academic libraries of other types and sizes. They also wanted to test whether their case study or pilot study should be expanded to more libraries.

After reviewing the literature, they contacted Beck to obtain the questions and survey instruments she used in her study and the permission to use them. They obtained an updated version of the instrument Culture of Assessment and permission to use it from Julia Blixrud, director of information services at ARL.²¹ They pretested both the questions and the instruments at two university libraries.

Library deans and senior administrators at three Carnegie MA I universities in Kansas and Missouri were interviewed in March 2004. The institutions chosen, because of size and type (Carnegie MA I) as well as close proximity to two of the investigators, were Central Missouri State University, Warrensburg, Missouri; Southwest Missouri State University, Springfield, Missouri; and Emporia State University, Emporia, Kansas.

Central Missouri State has an enrollment of 11,046 students and faculty of 428; the library has 863,181 vol-

umes and 3,500 periodical subscriptions and a total staff of 48 (17 librarians and 31 support staff). Southwest Missouri State has an enrollment of 18,700 and a faculty of 673; the library has 1,738,708 volumes and 4,200 periodical subscriptions and a staff of 65 (29 librarians and 36 support staff). Emporia State University has an enrollment of 6,000 and a faculty of 347; the library has 649,621 volumes and 1,438 periodical subscriptions and a staff of 19 (7 librarians and 12 support staff). Since the purpose of the study was to test the feasibility of replicating Beck's study at libraries other than ARL libraries, it was decided that the size of the sample as well as the lack of a random sample would not skew the ultimate value of the research.

A total of three library deans and twelve senior administrators (department chairs, directors, and heads) were interviewed about issues such as planning, decision-making processes, service evaluations, and assessment tools. At the end of each session two brief surveys were administered to the participants. The first survey, Culture of Assessment, was adapted from an instrument designed by Amos Lakos and Betsy Wilson, and refined by Shelley Phipps and Julia Blixrud; it was used to determine each individual's belief regarding assessment at his or her institution. The second survey, Beck's Factors in Decision Making, based on Oulton et al.'s "Decision Making in Libraries: Decision Research for the Development of Integrated Library Systems," was used to define the importance of terms that are sometimes associated with assessment.²²

Qualitative Data: The Interviews

Beck's method (interviews followed by the administration of two quantitative survey instruments) transferred easily to the small sample in this case study. The interview questions asked about the following broad themes: accountability, governance, service evaluation, assessment tools, and data-driven decision making.

Deans

The deans were asked two questions about university-wide accountability: What does the university administration expect from you in terms of accountability? What kinds of questions about the library do university administrators ask?

They replied that university administrators asked them to provide such data as annual reports, statistical information, the progress they had made toward goals set the previous year, and library performance compared to standard measures. One dean remarked, "I am accountable for the same things that other deans are: operating within budget, keeping proper records." The deans offered few examples of specific questions that university administrators asked. One said that the administrator to whom the library reports did not ask specific questions but expected the dean "to take

the initiative in bringing to his attention anything that I think he should know." Examples of information this dean brought to the administrator's attention were the impact of inflation on the library's budget and how the library leverages resources through consortia purchases. Another dean said that the administration expected to be forewarned about any library actions or policies that could upset the faculty and about library personnel problems.

The deans were also asked questions about governance: How are decisions made in your library? How has library organizational structure facilitated or hindered change?

They responded that some decisions are top-down and others are made in consultation with a group or groups of library staff. At one library, decision making extends to a management group composed of department chairs, the director of public services, the director of technical services, and an elected representative from the library faculty and the library staff. At another library, committees and action teams (formed as the result of an analysis of strengths of, weaknesses of, opportunities for, and threats facing the library) play a role in decision making. All deans said that they tried to get as much involvement as possible in discussion and decision making regarding major policies and procedures that affect the entire library.

The deans all admitted that the organizational structure of their libraries had both facilitated and hindered change. One said that "consulting widely and trying to build consensus definitely slows down the process. The more you discuss, the longer you might discuss because the more people you are trying to reach. . . . We found that most of the time you can't get consensus and you go with majority view."

The deans then were asked the following questions about the evaluation of library services: How do you evaluate your library services? Are you using new technologies, such as Web surveys to collect data? How much time do you spend on assessment and evaluation activities? How much money do you spend on evaluation and assessment activities?

The deans said that they evaluated services by standard input and output measures and user surveys. One dean described a local "matrix for assessment" devised by a library assessment committee. The committee identified various broad categories that it wanted to assess, searched for mechanisms for obtaining quantitative or qualitative data, and measured some programs or services annually and others every two or three years. The deans reported using or investigating the use of Web-based surveys. No one could estimate the amount of time or money spent on assessment.

The deans were asked the following questions about data-driven decisions: Are decisions in your library generally data-driven, when relevant data exist? What efforts are made to collect or locate data for such decisions? Can you cite examples of data-driven (or informed) decisions you have made? If decisions are not based on data, what are they based on? What changes have you implemented based on the data you have acquired from

19, no. 3 Summer 2005 127

your participation in LibQUAL+ or other large-scale assessment projects? Describe circumstances where changes were made because of the assessments you did. What barriers have prevented you from implementing change based on your assessment results?

They all said that decisions are generally data-driven, when relevant data exist. One said, "I'd like to think so. We certainly look at data when we have it. We are always arguing about what data are relevant. Then again the other discussion is how accurate is any data that you get." They cited national library statistical surveys, periodical use studies, internal reporting mechanisms, and comparative data as methods to collect data. Examples of data-driven decisions included periodical cancellation projects, allocation of library materials budgets, and vendor selection. If decisions are not based on data, they are based on "best judgment," observation, policy, procedures, philosophy, and "informed discussion

All the deans said that they had integrated assessment data into library strategic planning, resource allocation, and campus long-range planning. They found the following data most useful: collection use (especially of online resources) and user satisfaction with services.

relying especially on those who are expert in the particular area." None of the institutions visited had participated in LibQUAL+ or other large-scale assessment projects.

Examples of changes made as the result of assessment included changing library hours and circulation policies. The barriers that prevented making changes were "whether or not it is practical to do or cost efficient." One dean said, "Some of the barriers we have are ones we put up ourselves because some people don't like change."

Finally, the deans were asked the following questions about the planning process: How have you integrated your assessment data into your planning process in the past? What data that you are collecting today are most valuable for your planning process? Which traditional library measures do you find to be meaningless for planning purposes?

All the deans said that they had integrated assessment data into library strategic planning, resource allocation, and campus long-range planning. They found the following data most useful: collection use (especially of online resources) and user satisfaction with services. The traditional library measures cited as meaningless for planning purposes were unit costs of items such as microforms and media, volume counts, and reference questions.

Senior Administrators

The administrators were asked the same set of questions except for those regarding university-wide accountability.

The interviews with the administrators began with the following two questions about governance: *How are decisions made in your library?How has the library organizational structure facilitated or hindered changes?*

The administrators said that certain decisions were "pressed on" them by the university, citing examples such as funding. All of the institutions visited had some sort of library governance body such as a governance council (dean, administrators, and president of the support staff association) or group of directors or department heads. The administrators said that the dean and governance body tried to solicit input as widely as possible and that recommendations were then passed on to the dean for the final decision.

The administrators admitted that the organizational structure had both facilitated and hindered change. At one institution, administrators cited as a hindrance the previ-

> ous organizational structure with many subject-area departments that led to "empires," where staff were territorial and did not consider the greater good. They pointed out that the current (more centralized) structure facilitated change. This new organizational structure was partly the result of responding to the challenges of

planning for and moving into a new library building. The new building itself was also cited as an example of a factor that had facilitated change: public service personnel, who had been dispersed in the old building, were now in close proximity to each other and experiencing improved working relationships.

Administrators at another library pointed to their "very flat" organizational structure as both a hindrance and help. At this institution all librarians, as faculty, report to the dean, but some also report to departments for task-level duties; in essence, they have "two bosses." Change at this library occurs through the departmental structure in two ways: through a collective decision by the department heads group or through a single department head pursuing a narrow issue and going directly to the dean. Several administrators wondered whether the size of department heads group (ten members) was approaching the point where it would be difficult to bring everyone to consensus. The same opinion was expressed at another library.

The administrators answered the following questions regarding evaluation of library services: How do you evaluate your library services? Are you using new technologies, such as Web surveys, to collect data? How much time do you spend on assessment and evaluation activities? How much money do you spend on evaluation and assessment activities?

One library has had an assessment committee since 1991. The administrators at this library were proud that they had been "doing assessment before a lot of other libraries . . . [and had] set up a plan that was based on recurring elements." They also conducted user satisfaction surveys and employee "dissatisfaction surveys" (the dean had exit interviews with all student employees). This library had a "sea change" several years ago and came up with a new way to do assessment. They tried to establish a central focus in assessment and utilize data already regularly collected. The assessment committee has tried to encourage librarians to conduct routine assessment of users' reactions to library service and has built a "little matrix" for this.

Administrators at another library rely on anecdotal evidence for evaluation of library services and had also recently conducted a survey. Those at the third library use a variety of methods including an annual survey conducted for the library by a member of the teaching faculty. Two libraries were using Web technology to conduct surveys. None of the administrators could state the exact amount of time or money spent on assessment. One said that, in the past, assessment had been very time-consuming for a short period of time when statistics were being prepared for submission to library and government agencies and that they were trying to work it into the regular workflow. Another estimated that administrators devoted approximately 10 percent of work time to assessment and that they "looked at statistics at the end of each month."

One administrator said, "We are spending 10 to 15 percent of our time collecting the data. But how much time are we spending to look at it and use it? I'd say less than 5 percent." Others admitted that they could probably spend "a lot more" time analyzing data and that the library was close to having a "culture of assessment." This administrator felt that the library was "getting there" and said that "it is hard to find time to do everything. I think that we need to carve out a little more time to sit back and reflect about whether various areas are working." When asked how much money was spent on assessment, most administrators could not name a dollar figure, although one estimated \$1,000.

The administrators were asked the following questions about data-driven decision making: Are decisions in your library generally data-driven, when relevant data exist? What efforts are made to collect or locate data for such decisions? Can you cite examples of data-driven (or informed) decisions you have made? If decisions are not based on data, what are they based on? What changes have you implemented based on the data you have acquired from your participation in LibQUAL+ or other large-scale assessment projects? Describe circumstances where changes were made because of the assessments you did. What barriers have prevented you from implementing change based on your assessment results?

The administrators all agreed that decisions are generally data-driven, when relevant data exists. They cited periodical use data, gate counts, and circulation statistics as examples of efforts to collect such data. Examples of change based on data include changing library hours,

canceling periodicals, selecting vendors, remodeling the library, and discontinuing the practice of charging faculty for interlibrary loans. Examples of other types of information on which decisions are based include university politics, word of mouth, "experiences of library staff," and "feedback from people." They cited the following as barriers that prevented them from making changes based on assessment data: funding, lack of consensus, different interpretations of the data, insufficient staff, the library building, and lack of time to analyze the data.

The administrators were asked the following questions about the planning process in their libraries: How have you integrated your assessment data into your planning processes in the past? What data that you are collecting today are most valuable for your planning process? Which traditional library measures do you find to be meaningless for planning purposes?

One library has integrated assessment into the strategic planning process. The administrators cited the following data as most useful: patron use statistics, reference questions, and instruction statistics. One administrator considered circulation statistics meaningless; another mentioned volume counts.

Results of the Two Surveys

The authors administered the surveys and gathered the results. Since Beck had not yet reported the results of her two survey instruments, they could not compare their results to hers.

Culture of Assessment

The authors expected that there would be uniformity in responses to the factor (variable) related to assessment "data." The charts in figures 1 and 2 show mean, median, and standard deviation for the thirteen different "mechanisms" (variables) on the Culture of Assessment survey. This instrument asks respondents to rank their library's culture as weak or strong (on a 1–6 scale) in terms of thirteen "built-in mechanisms" that "embed and reinforce a focus on customers, continuous assessment and the use of measurement for planning and decision making."

The two groups did not assess the corporate culture of their libraries in the same way. The deans gave higher rankings to the mechanisms than did the administrators. The deans gave the following mechanisms top rankings in this order:

- Leadership commits to and financially supports assessment.
- 2. Staff are supported and rewarded for continuously improving capacity to serve customers.
- Performance measures are included in planning documents.

19, no. 3 Summer 2005 129

- 4. Data/user feedback are collected, analyzed, used.
- 5. Staff are rewarded for work that demonstrates improved service quality.
- Ongoing staff development in assessment is provided and supported.

The administrators' top-ranked mechanisms were as follows:

- Organization's mission, planning, and policies are user-focused.
- Leadership commits to/financially supports assessment.
- Services are evaluated for quality and impact (outcome).
- 4. Staff members have specific and measurable goals.
- Performance measures are included in planning documents.

Factors of Decision Making

The charts in figures 3 and 4 show mean, median, and standard deviation for the ten factors (variables) on the Factors of Decision Making survey. This instrument asks respondents to rank the importance (on a 1–6 scale) of factors in the decision-making process in their libraries. The results of the factor instrument showed slight differences in rankings of factors. The deans ranked the following factors as the most important in this order:

- 1. Culture
- 2. Technological feasibility
- 3. Staff buy-in
- 4. Cost
- 5. Skill/technological
- 6. Administrative support

The administrators' ranking of the top factors was as follows:

- 1. Cost/financial support
- 2. Administrative support
- 3. Technological feasibility
- 4. Culture
- 5. Skill/technological
- 6. Data
- 7. Staff buy-in

Conclusions

Although the information gathered needs closer analysis, the results indicate that assessment is important for library leaders in Carnegie MA I institutions and that Beck's method and instruments can be used in non-ARL libraries. The interviews revealed that library administrators in this

study, like those in Beck's, used data for planning and setting organizational priorities. This included formal assessment, survey results, and anecdotal information to develop policies, allocate staff, and build collections. Like those in Beck's sample, the administrators gathered and used data for decision making in all areas of the library: collection use data, survey data, economic information, departmental needs, shelving and interlibrary loan statistics, user needs, and building use. The authors concluded, as Beck had, that the degree to which a library administrator uses assessment

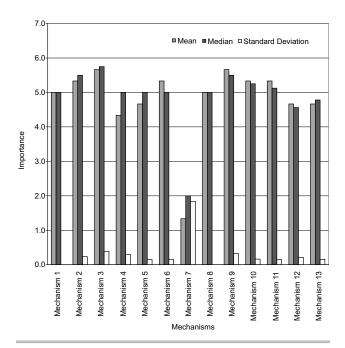


Figure 1. Culture of Assessment: Deans (n=3)

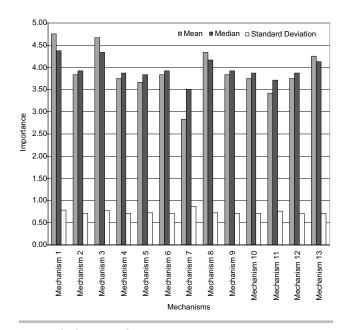


Figure 2. Culture of Assessment: Administrators (n=12)

data for decision making is related to the administrator's philosophy of leadership, need for information, personal interest in assessment, local organizational culture, and pressures from the parent institution.

This case study warrants further development by expanding the number of libraries visited and administering the two quantitative surveys to a larger sample. Beck's sample included only ARL libraries that had participated in LibQUAL+. None of the samples in this case study of Carnegie MA I libraries included LibQUAL+ participants.

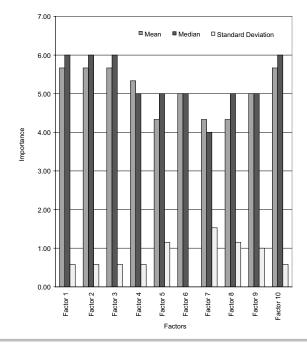


Figure 3. Factors in Making Decisions: Deans (n=3)

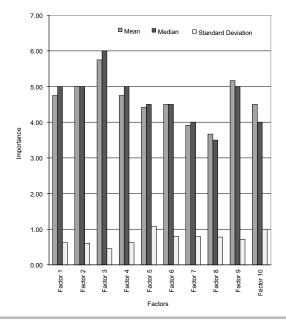


Figure 4. Factors in Making Decisions: Administrators (n=12)

Expanding the case study to such institutions would be interesting. Also, the authors would like to consider expanding the case study to include staff librarians as well as deans and administrators.

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19, no. 3 Summer 2005

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