# Self-Assessment Document

## of the

## Harold B. Lee Library

Brigham Young University
Provo, Utah 84602

_20 February 2003_____

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Some elements of this document have been included with the intention of satisfying accreditation requirements of Northwest Association of Schools and Colleges and other accrediting bodies as described in the Preface. Document template has been provided by BYU Planning and Assessment.

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# I. VISION, MISSION AND GOALS

The Harold B. Lee Library is a vital part of the teaching and learning environment of Brigham Young University.  As such, the library seeks to continually assess and improve the quality of its collections and services.  Following are the vision, mission and goals set by the library to ensure continued excellence.  For a more detailed explanation of the Mission of the library, please see [Moving Toward the Future](#)

## Vision
The Lee Library will support learning, teaching, and research by identifying and responding effectively to the information needs of our clients.

## Mission
The Mission of the Lee Library is to select, acquire, organize, preserve, and provide access to collections of scholarly and related materials in all media; assist and instruct clients in finding and using information available at the University and elsewhere; and prepare them to be lifelong learners.

## Objectives
The library supports this mission by adhering to the following objectives:
- Expand our vision beyond the boundaries of BYU's campus to serve the Church of Jesus Christ of Latter-day Saints and all institutions of higher education within the Church Education System (CES).
- Continue to focus on creating, maintaining, and providing access to superb collections to meet the information needs of our clients
- Maintain and improve services as we strive to meet our clients' information needs and expectations
- Cultivate tools to enhance our clients' access to information resources
- Provide opportunities for library employees to grow and develop
- Foster an environment of assessment, which will enable the judicious use of the library's resources and encourage teamwork and organizational development
- Integrate library services with those of other teaching and learning support programs at BYU through means such as Blackboard and E-Reserve.

## Goals
In keeping with these objectives, Library Administration has established a five-year plan with the following goals.
1. Create opportunities for employees to maximize their contribution to the university.
2. Manage resources wisely.
3. Reinvent reference services.
4. Collaborate with BYU Hawaii, BYU Idaho and LDS Business College to create a digital library that serves all students and faculty in the Church system of higher education.
5. Collaborate with other Church libraries and departments to build a digital library that will serve the membership of the Church.
6. Participate in national efforts to reshape the scholarly communication process to improve student and faculty access to information and to control costs.

## I. VISION, MISSION AND GOALS
### A. Brief History

The Harold B. Lee Library began as a small collection of books kept in the office of Karl G. Maeser during his time as Principal of Brigham Young Academy.  The small library relied almost exclusively on gifts, donations and free material from the Federal Government.  Unfortunately, when the Lewis building burned down in 1884, the fire also destroyed the library collection.  By the time the Education Building was completed in 1892, a new library had been formed and a room was provided on the second floor of the new building.  By 1903, Brigham Young Academy had strengthened its curriculum and enrollment had increased and the name was changed to Brigham Young University.  The library continued to grow with the new University and the physical quarters of the library were expanded to an additional room in 1906 to accommodate the growing collection.

Despite the extra space, the library collection continued growing until it filled the third floor and much of the second floor of the Education building.  In July 1924, the Alumni Announcers reported that $125,000 had been appropriated to construct a new library building to be erected on University Hill.  The new Heber J. Grant Library was subsequently dedicated on October 15, 1925 and 40,000 books and 35,000 pamphlets were moved into their new home.

By 1950, the collection had long since outgrown the Heber J. Grant Library, and books were stored in almost all campus buildings.  President Wilkinson appointed a faculty committee to survey library needs in January 1953.  As a result of the study, the J. Reuben Clark Law Library was constructed to help accommodate the growing collections of the Grant Library.  In 1961, 300,000 volumes were moved into the J. Reuben Clark Library although the building was not dedicated until October 10, 1962.

In 1973 the name of the Heber J. Grant Library was changed to the Harold B. Lee Library, in honor of the former president of the Church of Jesus Christ of Latter-day Saints.  In order to keep up with the needs of the academic community and the Church, construction began in 1974 on a library addition of 215,000 square feet.  This addition was occupied in the summer of 1976 and dedicated March 15, 1977.

As the University continued to grow, so did the library collections and need for additional space.  To help fill this need, ground was broken on September 20, 1996 for another addition to the Library.  In the four years of construction, roughly 235,000 square feet were added to the library, most of it underground.  When the new addition was dedicated on November 15, 2000, the library was 665,000 square feet.

The tremendous growth of the library and its collections has become fundamental to the mission of the University.  As Gordon B. Hinckley, President of the Church of Jesus Christ of Latter-day Saints, stated at the dedication of the library's newest addition, "Of all the wonderful buildings that we have on this campus, none, I believe, is as important as the library.  A library is the very heart and substance of a university.  Without access of vast quantities of information, neither faculty nor student can do an accurate job.  It is the foundation of research.  It is the source of information, both old and new.  It is a place for the ever-present challenge to dig for knowledge beyond that which is given in the classroom."

The current library has about 98 miles of shelving for the more than 6 million items in its various collections.  In addition to the increase in collection space, the library also has a seating capacity of 4,600 people and is the equivalent of 2½ football fields from North to South.  With over 10,000 patrons entering the building each day, the Harold B. Lee Library has grown significantly from the small collection that began in Principal Maeser's office.

## II. STEWARDSHIPS AND STRUCTURE WITHIN THE UNIT
### A.  Leadership

In 1999, an ongoing strategic planning process was started through which several significant changes in the library's leadership structure have emerged.  These changes included the repurposing of eight full-time positions, some of which were reclassified from faculty to administrative level.  Assignments of library administrators were also adjusted in 2001 and 2002 upon the retirement of several senior administrators including Sterling Albrecht, who served as University Librarian for 25 years. Currently, there are plans to repurpose three additional positions to better address the library's strategic directions.

The administration of the Harold B. Lee Library sets the organizational mission, core values, and performance expectations to support the teaching and learning missions, aims, and institutional objectives of the university and the Church of Jesus Christ of Latter-day Saints.  Due to the broad scope of the library's mission and the complexity of its organization, library administrators use several means to set, communicate and deploy the library's mission, values and expectations.

The Library Administrative Council establishes library-wide policies; formulates budget plans and allocates resources; establishes and acts on recommendations received from committees, task forces, project teams and other groups charged to evaluate library functions and services.  The Council also establishes strategic objectives in consultation with the University Administration, Library Strategic Planning Committee, and Library Coordinating Council.  The Administrative Council is accountable to the University Librarian and the Associate Academic Vice President.  Membership includes the University Librarian, Associate University Librarian, Assistant University Librarians, the Chair of the Library Strategic Planning Committee, and the Chair of the Library Support Staff Association.  (See http://www.lib.byu.edu/byline/ac.htm )

The Portfolio Management Team manages the prioritization of projects according to library strategies and the allocation of resources to project work.  In order to manage its many projects, the library uses multi-disciplinary project teams and three-pronged project management techniques originally developed at Stanford University.  Project management ensures that a single project deliverable is completed on time and within budget constraints, while program management controls the relationships among multiple projects.  The Portfolio Management Team is facilitated by the Associate University Librarian and includes the University Librarian, Assistant University Librarians, and Program Managers for Information Systems and Digital Collections.

The Library Coordinating Council is responsible for coordination of library functions and cross-divisional operational decision-making.  It also affords an important method of deploying Library missions, values, and performance expectations to all library employees by informing and involving their Department Chairs.  The Library Coordinating Council is chaired by the Associate University Librarian and includes Department Chairs, Assistant University Librarians, and the University Librarian (ex officio).

The Library Strategic Planning Committee identifies strategic and organizational issues, conducts environmental studies, and submits reports to the Library Administrative Council for review and follow-through.  The deliberations of this committee are based on the University's strategic objectives.  The membership of the Library Strategic Planning Committee is composed of the Associate University Librarian and nine rotating members chosen from among library employees.  In addition, senior library leaders establish annual and multi-year goals for the library and its divisions that contribute to the accomplishment of library and university missions.  The strategic plans and goals are widely disseminated to library departments and employees through the structures described above.  The current library strategic plan is also available at http://www.lib.byu.edu/byline/future.pdf.

Issues identified by these deliberative bodies are discussed in monthly Library Town Meetings which involve all library employees.  The meetings allow broad dissemination of library missions, goals, values and expectations, and also provide time for all employees to give feedback and discuss important library issues.  These planning, communication, and decision-making structures ensure consistent alignment of library directions with university objectives.  They also provide strong leadership in identifying key strategic library issues, making high-quality strategic and operational decisions, involving library staff appropriately in decision-making and communicating issues and decisions to all library employees.

The Process Improvement Specialist for the library serves under the direction of the Library Administrative Council to design and conduct ongoing studies to measure the effectiveness of the library in achieving its mission and goals and in contributing to student learning outcomes.  The library conducts faculty and staff focus groups, formal and informal surveys, and one-on-one observations to gather data on the quality of library services.  The library also routinely gathers statistical data on library usage and periodically carries out major reviews of the value of the library to the university such as the recent study prepared by the BYU Office of Institutional Assessment and Analysis completed in February 2003 (Harold B. Lee Library Resources Usage Study).  See section IV for details of this and other related assessment measures and outcomes.

All organizational performance information is submitted to the Library Administrative Council for review and analysis.  As needs for improvement are identified, the Library Administrative Council prioritizes the need and takes direct corrective action or assigns responsibility to a project team to study the issue and make recommendations for action.  When a project team returns with recommendations, the Library Administrative Council reviews and gives final approval for the implementation of recommendations.  When such actions are approved, they are communicated to the Library Coordinating Council to assist with implementation.  Assignments are made to appropriate library departments and divisions to carry out the recommendations.

The Harold B. Lee Library currently employs 78 faculty, 71 full-time staff, 22 part-time staff and approximately 380 student employees.  The LDS Foundation has also assigned 1 full-time development officer to the library.  University Police has assigned 1 full-time police officer and 35 student employees to maintain security in the library.  Physical Plant has assigned 5 full-time custodial managers and 40 student custodians to the library who report indirectly to the library administration through the library Building Manager.

Compared to other ARL libraries across the nation, the library relies more heavily on student employees, but uses far fewer staff and administrative employees.  The table below reflects regional comparisons based on 2001 statistics.

| Variable | ARIZONA STATE | BRIGHAM YOUNG | COLORADO STATE | U. of UTAH |
|---|---|---|---|---|
| Student Assistants FTE | 42 | 161 | 24 | 98 |
| Support Staff | 215 | 55 | 78 | 200 |

The University Librarian serves as the chief executive officer of the library, and the Associate University Librarian functions as the library's chief operating officer.  Library departments and employees are organized into three divisions, each under the direction of an Assistant University Librarian: Public Services Division, Collections and Technical Services Division, and Special Collections Division.  The Collections and Technical Services Division and the Public Services Division are closely interrelated, and employees in both divisions work closely together.  Subject Librarians, for example, have collection development and reference/instruction responsibilities that span the boundaries of the two divisions

The following are brief job descriptions of members of the library administration.

Randy J. Olsen
University Librarian
- ♦ Sets direction for all areas of the library, including collection development, public services, technical services, special collections, budget, personnel, development, and physical facilities
- ♦ Implements strategic planning efforts library-wide
- ♦ Defines and implements digital library services and coordinates the library's activities with academic programs and other distributed learning programs
- ♦ Identifies and cultivates donors for the library's development program
- ♦ Provides leadership in establishing and maintaining relationships with other libraries, professional associations and consortia
- ♦ Represents the library on the University's Deans Council and other administrative bodies.

Julene Butler
Associate University Librarian
- ♦ Serves as the senior leader of the library in the absence of the University Librarian
- ♦ Participates as a member of the library's management team in strategic planning, policy-making, and resource allocation and in directing all library programs
- ♦ Provides leadership for and manages the operational processes of the library

♦ Directs the library's budget, personnel and assessment programs

Scott Duvall
Assistant University Librarian for Special Collections
- ♦ Provides leadership for and manages the library's special collections programs, including special collections, music and dance, conservation, library exhibits, preservation, historical collections, and records management
- ♦ Participates as a member of the library's management team in strategic planning, policy-making, and resource allocation and in directing all library programs
- ♦ Works with the Church Education System and Utah Academic Library Consortium to develop and implement cooperative programs related to special collections, digital preservation, and records management
- ♦ Is accountable for budget planning and budget coordination for the Special Collections Division
- ♦ Participates in selected fund raising opportunities as they relate to special collections

Terry Dahlin
Assistant University Library for Public Services
- ♦ Provides leadership for and manages the library's public services programs, including reference services, library use instruction, access services, and distributed learning
- ♦ Participates as a member of the library's management team in strategic planning, policy-making, and resource allocation and in directing all library programs
- ♦ Is accountable for budget planning and budget coordination for the Public Services Division
- ♦ Works with the Utah Academic Library Consortium and the Church Education System to develop and implement cooperative programs related to public services
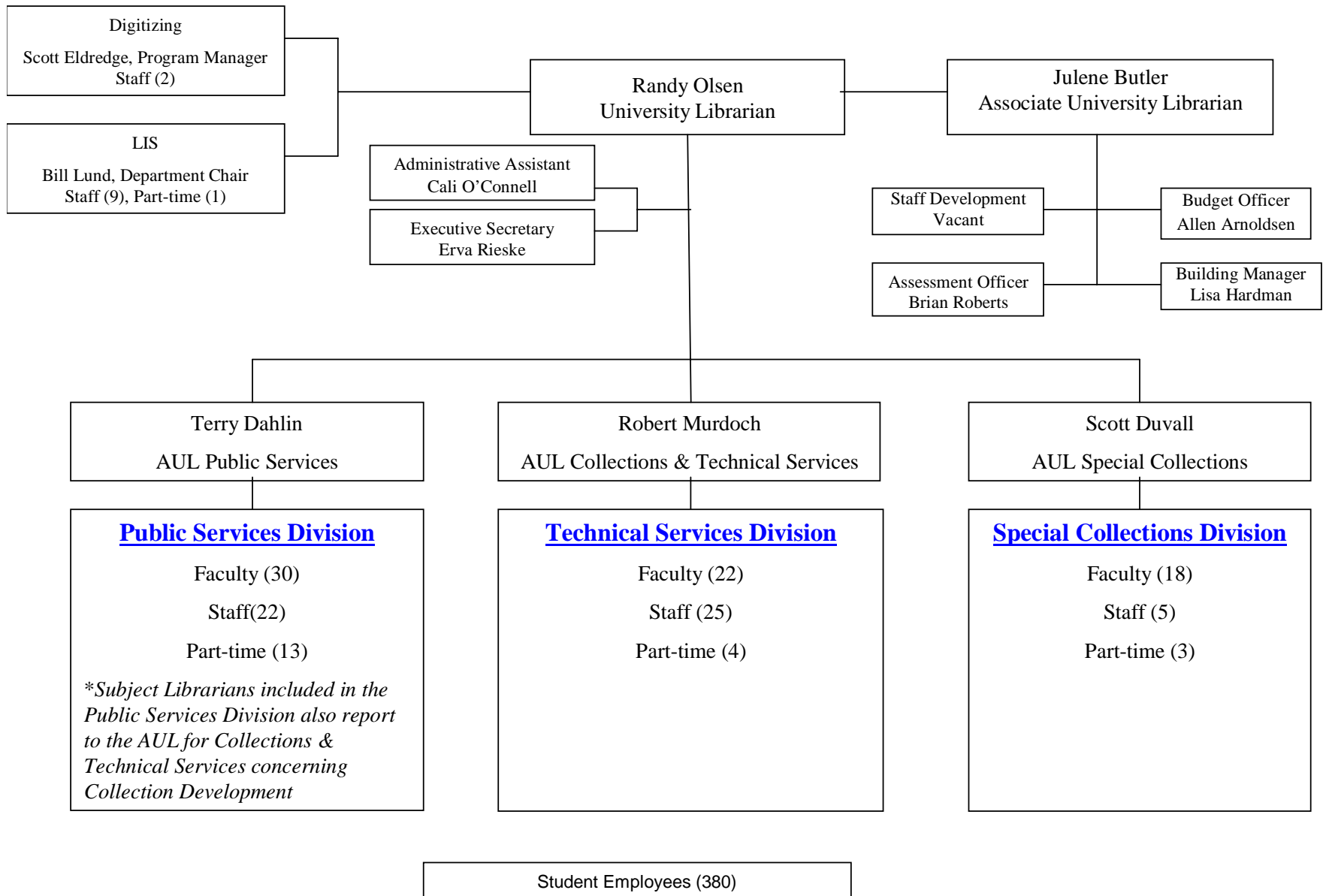
Robert Murdoch
Assistant University Librarian for Collections and Technical Services
- ♦ Provides leadership for and manages the library's collections and technical processing functions, including collection development and management, cataloging, acquisitions, serials, electronic databases, and vendor relations
- ♦ Participates as a member of the library's management team in strategic planning, policy-making, and resource allocation and in directing all library programs
- ♦ Maintains collection development policies for the library and the university
- ♦ Provides accountability for library collection development funds, including ensuring accountability for funds allocated to library subject specialists
- ♦ Works with the Utah Academic Library Consortium and the Church Education System to develop and implement cooperative programs related to collections and technical services

Joe Gonzalez
Associate Director of Major Gifts for LDS Foundation and BYU Development
- ♦ Solicits philanthropic gifts in support of library and university funding priorities
- ♦ Identifies and cultivates donors for the library's development program
- ♦ Coordinates development activities with library leaders, librarians, curators, and others

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┌─────────────────────────────┐
│ Digitizing                  │
│ Scott Eldredge, Program Manager │
│ Staff (2)                   │
└─────────────────────────────┘

┌─────────────────────────────┐
│ LIS                         │
│ Bill Lund, Department Chair │
│ Staff (9), Part-time (1)    │
└─────────────────────────────┘
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**Randy Olsen**
University Librarian

**Julene Butler**
Associate University Librarian

Administrative Assistant
Cali O'Connell

Executive Secretary
Erva Rieske

Staff Development
Vacant

Budget Officer
Allen Arnoldsen

Assessment Officer
Brian Roberts

Building Manager
Lisa Hardman

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**Terry Dahlin**
AUL Public Services

**Robert Murdoch**
AUL Collections & Technical Services

**Scott Duvall**
AUL Special Collections

### Public Services Division

Faculty (30)

Staff(22)

Part-time (13)

*Subject Librarians included in the Public Services Division also report to the AUL for Collections & Technical Services concerning Collection Development*

### Technical Services Division

Faculty (22)

Staff (25)

Part-time (4)

### Special Collections Division

Faculty (18)

Staff (5)

Part-time (3)

Student Employees (380)

## II. STEWARDSHIPS AND STRUCTURE WITHIN THE UNIT
### C. Work and Job Design

The job duties and responsibilities of the Lee Library staff, administrative, and faculty are clearly defined in individual job descriptions.  Regular performance review and planning sessions are held with all employees to help them achieve higher performance.  In these sessions, employees are given the opportunity to examine their performance for the previous year and participate in setting goals that are consistent with the mission and objectives of the library and the university.  The review and planning sessions also allow supervisors to learn about employees' job satisfaction and desire for future advancement.  The written and oral results of these sessions are shared with the Assistant University Librarians and the University Librarian, who assess the level of employee satisfaction and motivation.  If the results demonstrate a need for improvement, the library administration makes adjustments in employee support programs.

Formal and informal training occurs within library departments under the direction of the Department Chair. The Staff Development Officer for the library sponsors training needed by employees from more than one department.  The training is focused on the development needs of the staff and is delivered through lectures, one-on-one peer training, expert panels, hands-on computer instruction, tele-conferencing, and self-paced training on an individual PC.  The library, in conjunction with the Faculty Center, sponsors an extended mentoring and training program for new library faculty members.  Library faculty are required to be involved in scholarly and creative work that improves their job expertise, and funds to support their scholarly work are available through the Library Creative Professional Projects Committee.  Faculty, administrative, and staff employees are encouraged to become involved in professional associations and are provided with conference travel support to stay current in their areas of expertise.  Employees are encouraged to take university courses that advance their job knowledge.  All of these programs contribute to the achievement of the library's action plans by focusing employee training and development on the achievement of the library's mission and goals.  In order to help perpetuate upward movement of staff personnel, library administration has established a permanent continuing education fund for library staff members.  The purpose of this fund is to provide financial support for tuition for staff personnel who are pursuing a Masters in Library Science (MLS) or other work-related educational programs.

The library employs a large number of professional faculty members.  Library faculty have the opportunity to obtain permanent contract status (tenure) after satisfactory performance for a six-year probationary period.  Beyond permanent status, library faculty may also move up a career ladder of faculty ranks including: Affiliate Librarian, Assistant Librarian, Associate Librarian, and Senior Librarian.  Each rank brings enhanced professional stature and increased salary.  The library and university collaborate to sponsor a comprehensive program of mentoring, training, and development for new library faculty.  These library and university programs enhance the motivation and morale of library faculty.  The library faculty policy, *Harold B. Lee Library: Policies and Procedures for Appointment, Rank Advancement, and Continuing Status*, is available at http://www.lib.byu.edu/hbll/policy/ra.html.

The library strives to maintain a safe, fair, and professionally progressive work environment.  Library employees are respected and their ideas and contributions valued.  Within established guidelines, employees are empowered to carry out their duties according to their best judgment.  All personnel are encouraged to contribute to the library community and many employees participate in decision-making through library committees, teams, and task forces.  Training and support are available to staff members through the Library Support Staff Association.  The Library Association provides training and support to staff members, and provide opportunities for library employees to associate informally in regular social activities.  Open communication, empowerment, shared decision-making, and social interaction contribute to employee satisfaction and motivation in the library.

# III. SERVICES AND PROCESSES

The Harold B. Lee Library offers a wide variety of services, including but not limited to the following:

- Reference and research assistance, including face-to-face, telephone, email, print mail, and synchronous online contacts
- Library instruction and information literacy programs
- Development and maintenance of collections, both print and electronic
- Indexing and cataloging of information resources
- Delivering documents, both print and electronic
- Digitization of unique library resources
- Exhibits, lectures and other special events
- Access to university AccessPoint computers
- Preservation of library collections

The library's primary clients are the students (undergraduate and graduate), faculty, and other employees of Brigham Young University. Individuals at branch campuses and remote learning sites, learners enrolled in continuing education programs, students and faculty at other higher education institutions within the Church Educational System (CES) and Friends of the Library are also considered primary clients. The library extends its services secondarily (within available resources and licensing constraints) to members of the Church of Jesus Christ of Latter-day Saints and to the local community.

The needs of clients are determined through close relationships between the library and academic departments/colleges on campus. Approximately 30 subject librarians and special collections curators are assigned to work with faculty and students in the academic disciplines where their expertise resides (http://www.lib.byu.edu/hbll/helpful.htm#subject). These librarians maintain awareness of the research and curricular interests of their constituencies and keep them aware of new acquisitions and services, instruct them in the use of library resources, and provide them with other services as requested.

The library stays abreast of faculty and student needs and expectations through service on university committees and councils, including Deans Council, Teaching & Learning Curriculum Council, Faculty Advisory Council, and the Teaching and Learning Support Services Council. The library also sponsors a Faculty Library Council that reviews library policies and procedures and provides recommendations from the faculty for improving library collections and services. A representative of the Student Advisory Council meets monthly with the library's Administrative Council to communicate student recommendations for improving library services.

Satisfaction of students and other service recipients is monitored through several channels. Formal and informal surveys are periodically conducted, either on a library-wide basis or in relation to a specific library program or service. The Library is currently participating in the ARL sponsored LibQUAL+™ 2003 survey; and was involved in the 2001 survey. We regularly seek formal input from students in library instruction sessions and conduct usability tests as we revise and update the library Web page. Other formal feedback mechanisms are occasionally developed to measure satisfaction with a given library program. Utilization of services and facilities is monitored through a wide variety of data collected on an ongoing basis. (See Section IV)

Informal feedback and complaints come through both personal contact and written channels, including the library Web page where a "Feedback" link generates email to designated library employees, depending on the nature of the complaint (service issues, technical connectivity issues, etc.). If the designated librarian cannot deal with the complaint it is forwarded to the appropriate department who sends a timely response to the individual. The University Librarian and his Associate and/or Assistants serve as the final resort for resolution of complaints.

III. SERVICES AND PROCESSES
A. Library Collections, Services and Programs

**Library Collections**
Library collections are the most basic and important service of the Harold B. Lee Library. The main function of these collections is to support the curriculum and research programs of Brigham Young University. Collection development policies address not only the physical collection, but also the content of information available through the library. In recent years improved electronic access has become an important element of the library's collections. In order to adapt to an evolving educational environment and in an effort to better serve the client, additional emphasis and funding have been allocated to increasing accessibility to electronic resources. This has been especially important in library efforts to provide deeper support and integration with other CES institutions. The creation of the Digital Library has been a major part of the electronic development within the library. The new digital library includes selected segments of unique Lee Library collections that have been digitized and made available to people who do not have the opportunity to physically visit the Lee Library.

Patron satisfaction with the library's collection has always been of utmost importance. Where funds and space allow, the library has continually endeavored to meet expectations placed upon it by its numerous constituencies. Results from the 2001 LibQUAL+™ survey indicate that the library has been generally successful in these efforts. In nearly all questions related specifically to the collection, patrons' perceptions far exceeded their minimum expectations (see Appendix B).

**Special Collections**
One of the unique and valuable services the Lee Library offers to students and faculty at Brigham Young University is access to extensive collections of rare and out-of-print materials in the Special Collections Department. Among the many interesting and important materials made available to patrons are Photograph Archives; Arts and Communications Archives; extensive collections in Mormon and Western Americana; Film Music Archives; and the Folklore Archive. Special Collections also houses important collections of literature dating from the Renaissance and Reformation to the Victorian era. There are currently 14 full-time curators and manuscript processors, assisted by 30 students, working to maintain the 280,000 books, 8,000 manuscript collections, and 500,000 photographs. The L. Tom Perry Special Collections Department is one of BYU's greatest resources for teaching, learning, and research. (For more information see www.lib.byu.edu/byline/spec_coll.html)

**Public Services**
Reference service is provided at ten reference desks in the library. Typically each desk is staffed by student assistants with professional faculty providing back-up assistance during most hours the library is open. Subject specialists also provide one-on-one research assistance by appointment and through electronic mail. In January 2002 the library initiated an interactive live online reference service which gives students the opportunity to "speak" with a librarian from any computer, including both in-house workstations and computers from campus and off-campus locations. Through this service librarians demonstrate electronic resources while the student is on-line and provide much the same service to patrons at remote sites as to those standing at the reference desk.

The Lee Library has one of the most outstanding library instruction programs in the country. With a library unit embedded in two levels of the university's GE-required English Composition courses, students learn fundamental research skills as well as subject-specific research tools and strategies. Subject specialists also work with academic faculty to include instruction sessions in courses with research- or library-based assignments. Instruction is offered in one of four technology rooms which contain workstations where students have hands-on learning opportunities.

The library's Faculty Document Delivery service is one of the most popular services offered to campus faculty. An online request form allows faculty to request books and articles, including items in library collections and those not held by the library. Once the item is available, it is either digitized, copied, or checked out, then delivered electronically or physically to the faculty office.

Distributed learning capabilities are growing through a strong electronic reserve offering and inclusion of library resources on courses administered through Blackboard software. Library employees have developed strong working relationships with the university Continuing Education department, the Center for Instructional Design, and various academic departments where a library unit is central to a credit courses are is offered online or through Independent study.

B. Relationship with other Units

The Library reports to the Associate Academic Vice-President for Research and Graduate Studies. The University Librarian sits on the Deans Council and periodically reports to the Academic Vice-President's Council and the President's Council. Close ties between the library and each academic department on campus are maintained through direct interaction between subject librarians and individual faculty. The Library also works closely with numerous on-campus academic and educational support groups. Partnering efforts include training new teaching faculty, participating in development of online courses, digitizing course related materials, electronically publishing university sponsored journals and other publications, and providing library services to distributed learners. Significant partnerships exist with the following entities:

- Teaching and Learning Support Services Council
- Office of Information Technology
- Copyright Licensing Office
- Center for Instructional Design (CID)
- Faculty Center
- Continuing Education, especially the Salt Lake Center and Independent Study
- Museum of Art
- Institute for the Study and Preservation of Ancient Religious Texts (ISPART)

The Lee Library shares many services with the Hunter Law Library (which reports administratively through the J. Reuben Clark Law School). The online catalog/circulation system (SIRSI's Unicorn system) reflects holdings of both libraries and a Law Library representative sits on the team which manages that system.

The Library Shared Services Committee within the Church Educational System coordinates activities between the Lee Library and libraries at BYU-Idaho, BYU-Hawaii, LDS Business College, and the Church History Library. Cooperative efforts in cataloging, information systems, document delivery, research assistance, instruction, collection development and online reference are bringing cost savings, improved services, and congenial working relationships to all libraries involved.

The Lee Library also benefits from active participation in several other library consortia including:

- Utah Academic Library Consortium (UALC)
- Association of Research Libraries (ARL)
- Association of College and Research Libraries (ACRL)
- Research Libraries Group (RLG)
- Online Computer Library Center (OCLC)
- Greater Western Library Alliance (GWLA)
- Scholarly Publishing and Academic Resources Coalition (SPARC)
- Coalition for Networked Information (CNI)

The Lee Library participates actively with an academic department or college when the unit comes up for review by its national, regional and/or professional accreditation body. Frequently such reviews include a major library component. The appropriate subject specialist librarian becomes deeply involved with departmental faculty in compiling data regarding the size and nature of relevant collections and the scope of library services to students and faculty. In recent years the Library has assisted with accreditation studies for the School of Education, the School of Nursing, and the History Department.

IV. PLANNING AND EVALUATION PROCESS AND INDICATORS

Traditionally, research libraries have measured their quality by the size of their collections (in bound paper volumes such as books, serials, microforms, audio/visual materials, etc.) and expenditures. The adage has always been the greater the holdings and spending, the finer the library. In recent years, however, the trend has begun to shift more towards outcome based assessments to gauge performance and improvement.

The Lee Library has actively been pursuing such efforts in the establishment of the Strategic Planning Committee. Based on the University's strategic objectives, the Strategic Planning Committee identifies issues with strategic and/or organizational implications for the library, and recommends appropriate studies to address such issues. A strategic planning document has recently been prepared by this group which sets forth the values, principles and goals to help the library create a culture of assessment that best serves the needs of the University and the Church (see Moving Toward the Future – Strategies for the Harold B. Lee Library). The document is dynamic and undergoes evaluation and revision each year as studies are completed, goals achieved, and new objectives established.

Past accomplishments of the committee include 1) the hiring of an assessment officer (Process Improvement Specialist) for the library whose specific role is to coordinate all relevant collection and dissemination of library measures; 2) a thorough evaluation of processes in many areas in the library under the guidance of the Process Improvement Specialist, including acquisitions, cataloging and access services; 3) a review of the role of subject specialist and recommendations to improve their effectiveness; 4) an analysis of reference service resulting in a formal recommendation to Administrative Council to establish a project team to explore possibilities for models of reference service and experiment with a variety of options in service models and staffing patterns. For 2003, the Strategic Planning Committee has been charged to draft a white paper on the scholarly communications crisis and BYU. This paper will be used to launch discussions across campus relative to the scholarly communications crisis and possible strategies for dealing with the crisis including creating an institutional repository at BYU.

As a result of many of these efforts, the library has embraced the University's Enterprise Project Management program which uses multi-disciplinary project teams and three-pronged project management techniques to manage its many projects (See Section II).

IV. PLANNING AND EVALUATION PROCESS AND INDICATORS
A. Measurement of Organizational Performance

The Lee Library makes every effort to measure the effectiveness of the services it provides. From the efforts of the Strategic Planning Committee and Project Teams, several indicators have emerged to help the library gauge its overall efforts to provide quality services to its patrons.

In the spring of 2001, the Lee Library joined several other libraries across the United States and Canada in an initiative sponsored by the Association of Research Libraries (ARL) in conjunction with researchers from Texas A&M University. This project was known as LibQUAL+™. The basis of this project was a survey of library patrons to assess their minimum and desired expectation of library services and their perception of how well the library was meeting those expectations. The 2001 survey established a benchmark from which the library can measure user satisfaction. Of the forty-three institutions that participated only one library had higher patron scores than the Lee Library. (see Appendix B for more details). The Library is currently involved in the 2003 LibQUAL+™ study. Over 300 institutions will participate in this study and results will be compared to 2001 data to assess changes in patron perceptions of library services.

A resource usage study was conducted in 2001-2002 at the request of the Associate Academic Vice-President for Research and Graduate Studies (Harold B. Lee Library Resource Usage Study ). This study was initiated to determine maximal utilization of the Lee Library, with an eye toward serving the on-going and future library needs of BYU-Provo, BYU-Idaho, BYU-Hawaii, and LDS Business College. Data collected from the study will be useful in library resource planning. The study addressed issues related to 1) the use of HBLL collections, 2) patron "value" of the HBLL (including facilities use), and 3) other HBLL services (including electronic). The results of the study indicate that the Lee Library "continues to remain the 'heart of campus'" and contributes to the academic and social well-being of students, faculty, staff, and other non-BYU patrons. Data indicates that while electronic access to library resources is increasing, circulation rates have remained relatively constant over the past 3 years. It is anticipated that this effort will serve as a foundation for establishing a web-based executive information system where administrative personnel can view and review critical library data online and on demand.

The Lee Library continues to support statistical surveys administered by various consortia and agencies across the country. Recent changes in the methods of collecting and reporting data have improved the standing of the Lee Library in rankings generated from these surveys. According to the 2001-2002 ARL Annual Statistical Survey, BYU ranks 44th in volumes held (up from 73rd in 2000-2001), 77th in total serials (up from 103rd), and 50th in total expenditures (up from 62nd) out of the 113 ARL institutions.

# IV. PLANNING AND EVALUATION PROCESS AND INDICATORS
## Table 2 – Service Quality
### Summary of Assessment Methods, Results, Uses

| Unit/Service Program | Program's Goal or Intended Outcome | Assessment Method and Criteria | Assessment Results | Use of Results |
|---|---|---|---|---|
| LibQUAL+™ (Spring 2001) | Define and measure library service quality. The goals are:<br>1) develop web-based tools for assessing library service quality;<br>2) develop mechanisms and protocols for evaluating libraries;<br>3) identify best practices in providing library service;<br>4) establish a library service quality assessment program at ARL | A random sample of library patrons was surveyed to measure their minimum and desired expectation of library service and their perception of how the Lee Library meets those expectations. | Lee Library patrons scored library services high in meeting their expectations | Results have been utilized in assessing reference service and serve as a benchmark to assess improvement after the spring 2003 survey is completed. |
| Statistics Surveys (ongoing) | Report annual statistics to requesting organizations and agencies | Data collected by the various departments across the library on a fiscal year basis | The latest ARL statistics show that out of 113 institutions reporting, BYU ranked 44th in volumes, 77th in serials, 50th in total expenditures, 24th in professional staff, and 13th in initial circulation. | Data from such reports are used in assessing the quality of the Lee Library relative to other research libraries and in resource planning. |
| Resource Usage (2001-2002) | Provide data related to the utilization of HBLL resources with an eye toward serving the on-going and future library needs of BYU and extended campuses, as well as focus on resource planning. | The Office of Institutional Assessment and Analysis analyzed several sets of usage data to address issues related to 1) the use of HBLL collections, 2) patron "value" of the HBLL, and 3) and other HBLL services. | Data indicate that the library plays a central role in campus life and contributes to the academic and social well-being of students, faculty, staff, and other non-BYU patrons. Despite an increase in the use of electronic resources, circulation rates have remained relatively constant over the past 3 years. | Results presented to the Academic Vice-President's and President's Councils. It is the intent that this effort will serve as a basis from which to establish a web-based executive information system where administrative personnel can view and review critical library data online and on demand. |

## V.  FACILITIES AND RESOURCES

The library spans 635,000 square feet on six levels.  Book stacks and student study areas consume the majority of this space.  Employee offices, workrooms, processing areas, etc. are distributed throughout the building.

The library's physical collection is housed on 12,822 double-faced units with each unit typically housing 42 linear feet.  This space is adequate and allows for modest growth; however, if current trends in publishing continue and the ratio of paper vs. online publication proceeds at the pace predicted by the industry, the need for additional collection space will become a concern within 7-10 years.  Compact shelving, which doubles the storage capacity within a given space, is being used for lower-demand collections and in areas with restricted public access such as Special Collections.  Areas in the 1999 addition have reinforced flooring to accommodate future compact shelving as needed.

The building addition completed in 1999 provided new environmentally controlled spaces, although similar controls are not entirely adequate in the older areas.  Extra controls and warning systems (including a customized cold vault for storing and preserving film and photographs) were implemented in the Special Collections area where the most valuable and fragile collections are housed.

Student study space numbers approximately 4,000 seats.  This includes nearly 2,000 spaces at tables or carrels, almost 600 computer stations (in open access labs or at reference desks), and over 250 spaces in other instruction rooms and 50 student group study rooms.  Approximately 130 spaces in semi-private research rooms are dedicated for faculty use.  In spite of the increased capacity, students continue to express the need for additional group study rooms and additional open access computer lab stations.

An electrical and network floor grid was installed throughout the majority of the library addition.  This not only provides power outlets and network connections for student laptop use at all study tables, but allows flexibility in the future location and layout of those tables.  With few exceptions, study tables in the older building have also been equipped with power and network capability.  Implementation of wireless technology has just begun that will make every study space network accessible within two years.

The library also has a 213 seat auditorium which is technologically equipped for lectures, instruction, presentations including use of live internet sources, and film screenings.  In addition, there are eight technology-equipped classrooms, four of which provide hands-on computers for students.
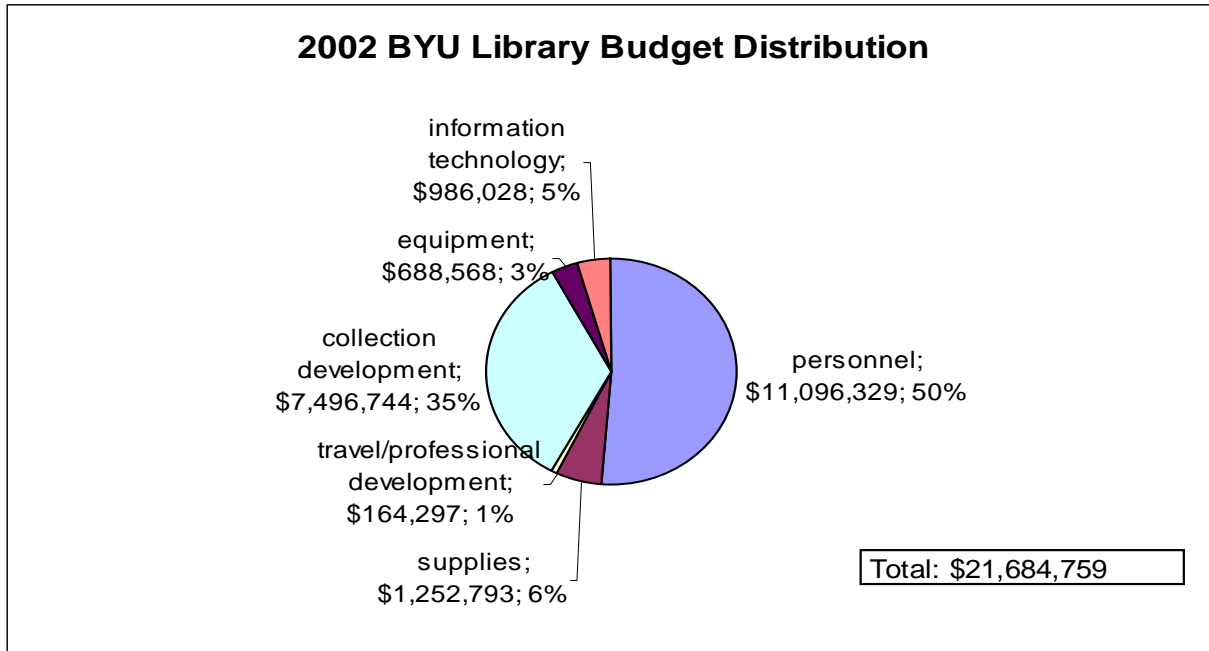
Accessibility issues for patrons with disabilities were thoroughly reviewed during the planning phase of the library addition and remodel.  This review and an increased awareness gained from working with representatives of the Accessibility Center resulted in increased aisle space throughout library shelving and construction of a dedicated lab with specialized equipment.
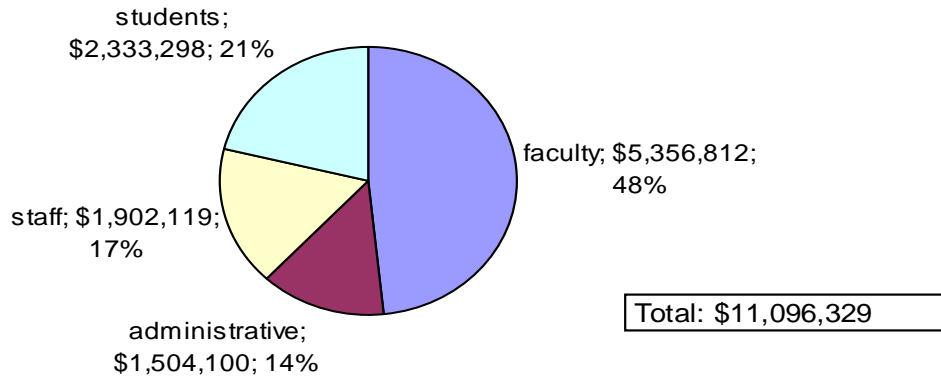
The Harold B. Lee Library is funded almost entirely by university-budgeted funds. While the largest expenditure is for personnel (50%), a significant amount (35%) is spent on collection development. University funding allocated for information technology and other capital equipment, though a relatively small percentage of the library's total budget, reflects a strong commitment from university administrators to support library needs.

Library programs are also supported through endowment funds, gift monies, and limited business income. Endowment earnings help finance collection development (particularly Special Collections items), digital initiatives, mentored student learning projects, and disabled-student accessibility lab equipment and services.  Gift monies are used primarily to support collection development efforts but are also used for Friends programs and special events or projects. Business income typically cycles back into the departmental program that generates the income.
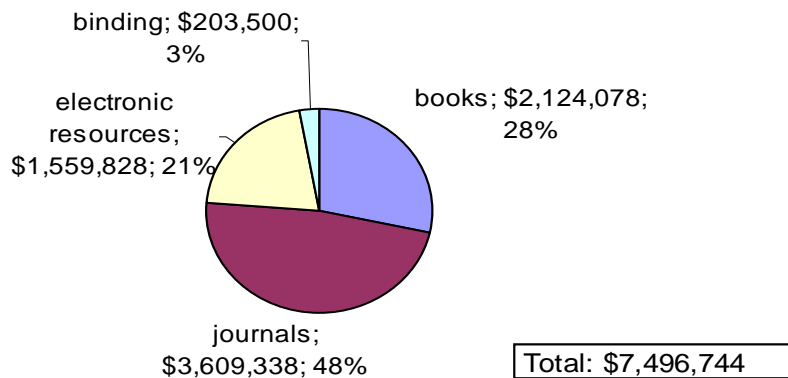
**2002 BYU Library Budget Distribution**

information technology; $986,028; 5%

equipment; $688,568; 3%

collection development; $7,496,744; 35%

travel/professional development; $164,297; 1%

supplies; $1,252,793; 6%

personnel; $11,096,329; 50%

Total: $21,684,759

**2002 Personnel Budget Distribution**

students;
$2,333,298; 21%

faculty; $5,356,812;
48%

staff; $1,902,119;
17%

administrative;
$1,504,100; 14%

Total: $11,096,329

*Collections*

Serials (journals) make up the largest category of the collection development budget. Serial products also have the highest annual inflation rates which makes funding them on an ongoing basis a challenge. Electronic resources, including commercially-produced databases and texts as well as locally digitized resources are also a rapidly growing offering of the BYU Library. Expenditures for traditional print books remain a significant portion of the library budget and will continue to do so for the foreseeable future.

**2002 Collection Development Budget Distribution**

binding; $203,500;
3%

electronic
resources;
$1,559,828; 21%

books; $2,124,078;
28%

journals;
$3,609,338; 48%

Total: $7,496,744

## VI. CONCLUSION

The Lee Library is committed to building upon the organizational values of learning, service, accountability, quality, collaboration and initiative.  Along with the University, the library encourages life-long learning among our employees and clients.  It also strives to meet the needs of its internal and external customers.  The library has been provided with many resources and is accountable to use them wisely.  The library strives for excellence in information resources, programs, and services.  It also develops partnerships within itself, within the university, and with other universities and libraries, especially schools in the Church Education System.  The Lee Library values innovative responses to meet our clients' needs.  As the "heart and substance" of the university, it seeks to reflect these values in every program and service it provides.

APPENDICES

Appendix A:  Professional Staff Vitae
Appendix B:  LibQUAL+™ Summaries

Appendix A
Professional Staff Vitae

The following are brief job descriptions of members of key personnel categories in the library.

Department Chair
♦ Plans, implements, directs, and manages all department functions and services
♦ Represents and provides communication to the department, the library administration, and the library as a whole
♦ Oversees the activities of department personnel
♦ Serves as a steward of department budgets and resources
♦ Mentors, facilitates professional and career growth, and evaluates the performance of department personnel
♦ Is accountable for the successful operation of the department

Subject Librarian
♦ Develops, manages, and evaluates collections in assigned areas in accordance with established collection policies
♦ Provides library use instruction and reference and research services to local and remote students and faculty
♦ Serves as a library liaison to faculty in academic departments
♦ Contributes to state, regional, and national associations and participates in professional development and scholarly activities

Curator
♦ Searches out, appraises, and acquires published and manuscript records for special collections
♦ Establishes and maintains intellectual control of records using accepted standards of archival arrangement and description
♦ Creates finding aids using EAD markup language
♦ Provides reference services and fosters public outreach programs
♦ Prepares exhibits, plans publications, and works to expand public use of special collections
♦ Contributes to state, regional, and national associations and participates in professional development and scholarly activities

Cataloger
♦ Performs original cataloging of materials in assigned subject areas using the Sirsi Unicorn and RLIN systems and following national and local standards for the creation of bibliographic and authority records
♦ Catalogs and maintains bibliographic records and links to e-books based on priorities established in accordance with the library's initiative to provide materials to campus users as well as remote users
♦ Participates in national cooperative cataloging programs (NACO, BIBCO, and SACO)
♦ Maintains familiarity with current informational and instructional technologies
♦ Contributes to state, regional, and national associations and participates in professional development and scholarly activities

Digital Initiatives Program Manager
♦ Provides leadership for and manages the development of the digital library and serves as the key contact person for anyone at the university or within CES working on digital projects

- ♦ Chairs the Digital Imaging Department and supervises digital project managers to ensure that projects are completed on schedule and meet expectations
- ♦ Works closely with subject specialists in their efforts to identify collections that will expand and enrich the digital library
- ♦ Ensures that appropriate content created by the Center for Instructional Design, the Division of Continuing Education, KBYU and other church and university organizations is deposited and made accessible through the digital library
- ♦ Provides leadership in evaluating and adopting new digital library technologies and information management standards and facilitates collaboration with other university departments

Digital Initiatives Project Manager
- ♦ Ensures effective management of Special Collections digital library projects
- ♦ Effectively manages text mark-up operations
- ♦ Ensures effective and efficient management of a Library Digital Imaging Center
- ♦ Assumes responsibility for university citizenship

Appendix B
LibQUAL+™ Summaries

In the spring of 2001, the Harold B. Lee Library joined with 42 other research libraries for LibQUAL+™, a web delivered assessment tool to measure library service quality. The project was managed by the Association of Research Libraries and the libraries/researchers of Texas A&M University. The intent of the project was to 1) develop tools & protocols for evaluating library service quality; 2) develop effective web-based survey delivery mechanisms; 3) identify best practices; and 4) establish an ARL service quality assessment program. It was the hope of the HBLL administration that through this effort, the library would be able to gain a better understanding of how the BYU community rates Lee Library services, benchmark BYU results against that of other institutions, and help the library see where service improvements could be made – all of which to help the library achieve their Strategic Plan.

For this study, patrons were asked to score the services of the library on three 9 point scales – their minimum expectation for a service, their desired level of the service and their perception of how the library delivers that service. The idea with this was if the perceived level of service was near or below the minimum expectation, this would imply the need for improvement. The responses from BYU patrons exceeded the library's expectations. Of the 43 institutions, BYU patrons rated the HBLL higher than did the patrons at other institutions with the exception of one. The summary of BYU's achievement in this can be seen in the chart below. The questions from the survey were clustered into four major groups, how the patron was treated – service affect; the facility and environment – the library as a place; patron self-reliance – personal control; and the availability of the collection and resources – information access. The boxes are referred to as the Zone of Tolerance. The bottom of the box is the minimum expectation; the top of the box is the desired expectation. The diamond represents the perceived level of service.

**Zone of Tolerance - BYU**
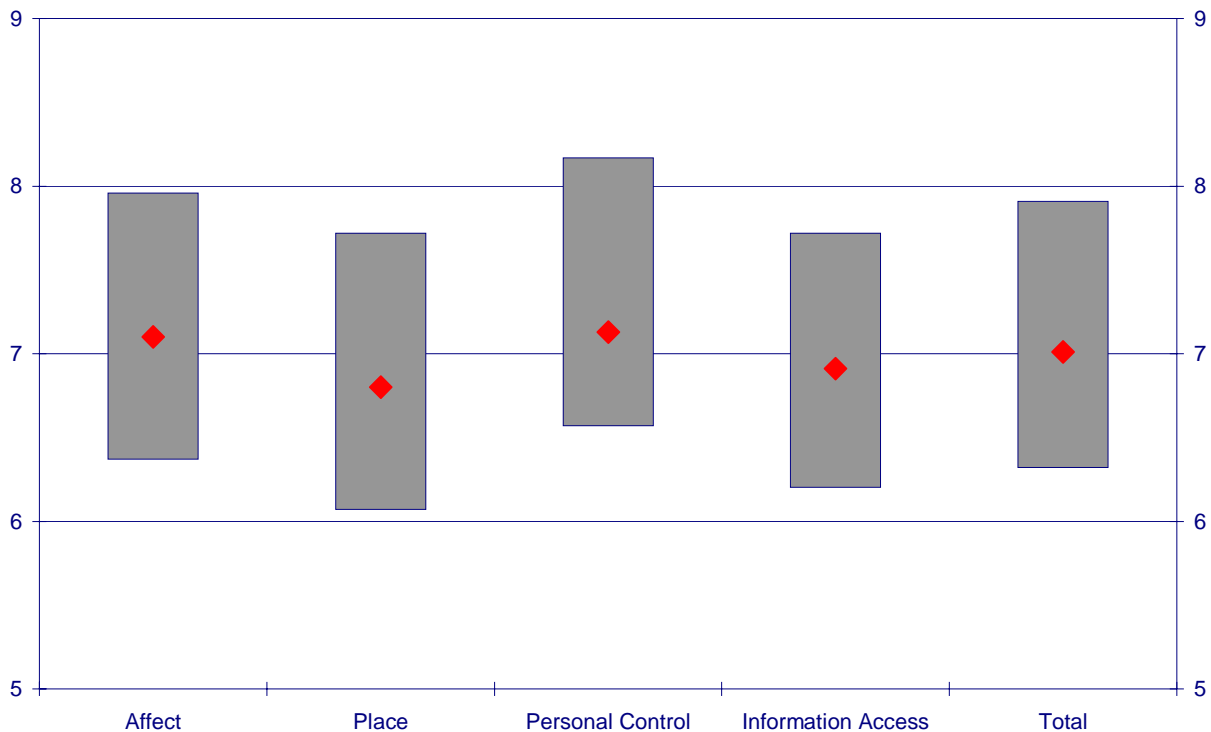
As evidenced from the chart above, patrons indicated that the Lee Library does an outstanding job in meeting their expectations of service in the areas summarized. The one area where patrons suggested the library could improve (where the diamond was closest to the minimum level) was in Personal Control – providing the tools and means to help patrons be more self-reliant.

In more specific areas, the patron's satisfaction was high. One such area was in the collection. Several questions were asked about issues relating to the library's collection and the ability to make said collections available and accessible. The Zone of Tolerance chart below summarizes those results.

**Zone of Tolerance for Collection Related Questions**
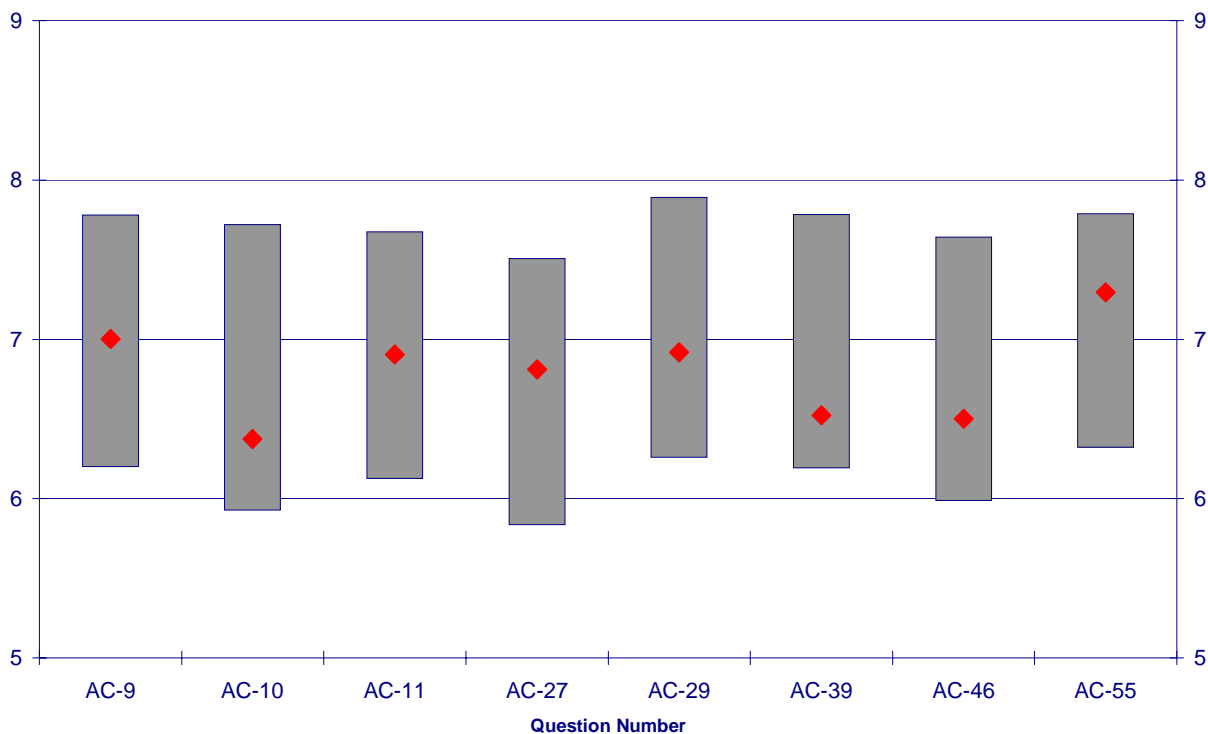


The questions reported above were:

       AC-9, Timely document delivery/interlibrary loan
       AC-10, Full-text delivered electronically to individual users
       AC-11, Comprehensive print collections
       AC-27, Access to archives, special collections
       AC-29, Convenient access to library collections
       AC-39, Complete runs of journal titles
       AC-46, Resources added to library collections on request
       AC-55, Library materials being available for browsing in open stacks

Again, in general, patron satisfaction was high. The two notable exceptions reflect a problem evident not just at BYU, but at institutions across the country. With spiraling serial subscription rates, the ability for the Lee Library to keep and maintain all the needed periodicals is significantly hampered. Fortunately, the University administration has been very supportive in this effort and for 2003 has allotted a set amount of funds for the acquisition of new serial titles to help alleviate the problem.

Another area of note has been reference service.  Eleven questions relating to reference service were asked of patrons.  The results of this, as shown in the chart below, were instrumental in a recent effort to study reference service in the Lee Library by a subcommittee of Reference Services.

**Zone of Tolerance for Reference Related Questions**
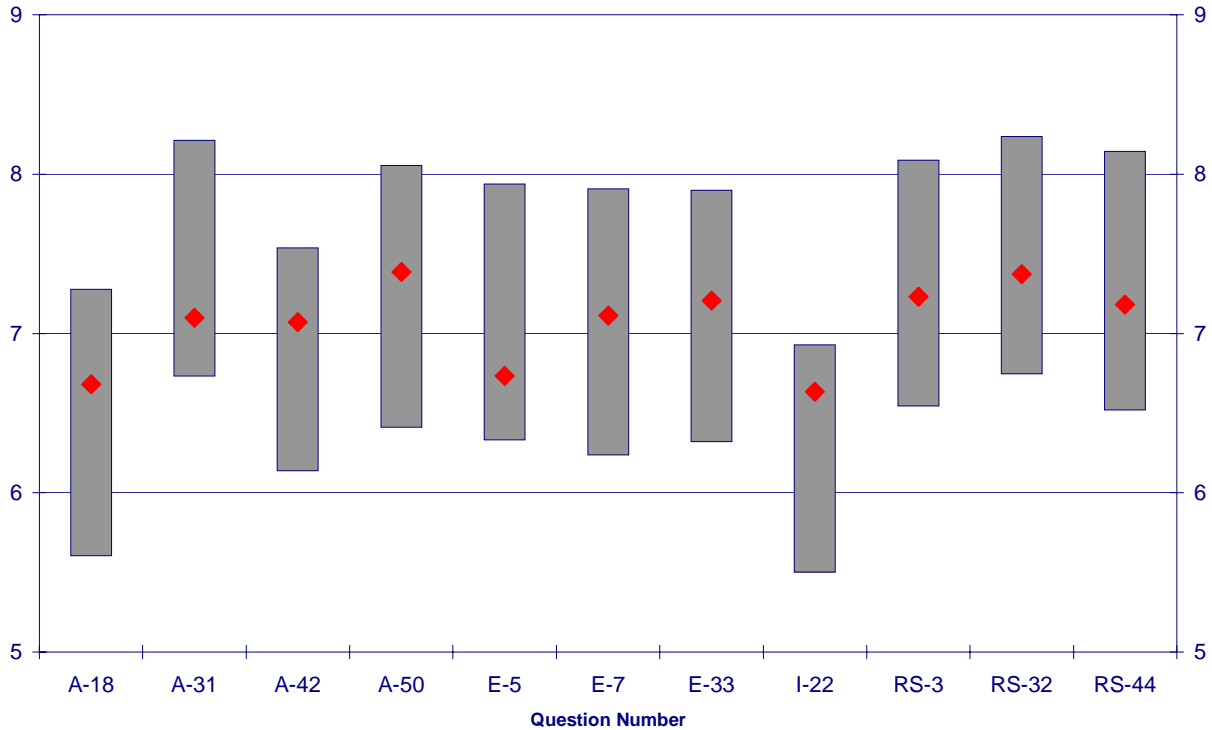


The questions reported above were:

> A-18, Employees who instill confidence in users
> A-31, Employees who have the knowledge to answer user questions
> A-42, Assuring users of the accuracy and confidentiality of the transactions
> A-50, Employees who are consistently courteous
> E-5, Employees who understand the needs of their users
> E-7, Employees who deal with users in a caring fashion
> E-33, Giving users individual attention
> I-22, Tailoring a response to meet a particular request rather than teaching more than needed
> RS-3, Readiness to respond to users' questions
> RS-32, Willingness to help users
> RS-44, Prompt service to users

Again, patrons tended to indicate that the Lee Library met their expectations related to reference services. Two areas that were noted by the aforementioned subcommittee as needing special attention were improving the knowledge of employees to answer questions and improving the understanding of user needs.