Third Generation Balanced Scorecards for Libraries

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Outline

- Historical overview
- Libraries and the Balanced Scorecard
- Case study: University of Pretoria Open Scholarship Programme
- Conclusion
Balanced Scorecard Basics 1992-

- 4 Perspectives:
  - financial
  - customers
  - internal business processes
  - learning and growth
- 5-6 good measures for each
- Most important perspective at 12h00
- Goal: balance and future readiness
- Compatible with the needs of non-profit organizations but they should also pay more attention to financial measures
1st Generation Shortcomings

- Vagueness
- Lack of direction with regard to measure selection (from a vast range of possibilities) and measure clustering
- Confidence and resulting buy-in was low
- Disappointing results
New Insights → 2nd Generation

Successful implementation was reported whenever the BSC supported major strategic initiatives →

Additional perspectives will not necessarily guide the organisation towards doing and measuring the right things

The **right things** are already included in the strategic plan →

**MEASURE STRATEGY IMPLEMENTATION AND EXECUTION!**
2nd Generation: BSC’s strategic niche

- Clarifying and translating strategy
- Making strategy operational
- Driving strategy execution
- Identifying and aligning strategic initiatives
- Linking resources with strategy
- Aligning the organization with strategy
2nd Generation: The Strategy Map

- Framework for describing and visualizing strategy
- Outcomes and the strategic objectives to fulfill them
- Grouped according to the BSC perspectives
- Cause and effect relationships between objectives describe the logic of the strategy and prevent non-related objectives from creeping into the model

Unpacking and translating strategy to make it

MEANINGFUL, ACTIONABLE, MEASURABLE
Multiple scorecards for complex organizations

**Destination statement:** what will the organization look like when success has been achieved?

Active involvement of management needed to write the destination statement → commitment

Simplified linkage model: Outcome & Activity
Libraries and the BSC

- Enthusiasm, experimentation, survivors
- Few signs of 2\textsuperscript{nd} and 3\textsuperscript{rd} generation implementations
- Few strategy maps
- Two well-established examples
  1) German BIX project
  2) Measuring quality: Performance Measurement in Libraries
UP Open Scholarship Programme

To change scholarship practice at the University of Pretoria towards becoming an Open Scholarship institution with the following characteristics

1. Theses and dissertations are available online with open access based on a policy of mandatory submission
2. Research and conference papers are available online with open access and researchers actively contribute based on a policy of mandatory submission
3. Researchers and students actively use open access material
4. Researchers publish in available open access journals and the institution has policy and financial support in place for that
5. Researchers **actively** manage the copyright of their publications, inter alia with addenda to their contracts or using Creative Commons contracts, and the necessary policy exists

6. Publications from the institution's press/publishing house are available in open access based on policy

7. The institution publishes its own online open access journals OR provides infrastructure and support for members of its community who are involved with society publishing

8. Dissemination forms part of the University’s publication strategies

[www.ais.up.ac.za/openup/](http://www.ais.up.ac.za/openup/)
The following slide provides context for the programme: it forms part of the **Library Strategic Areas**

- **Enabling research**: impact positively on research, and
- **E-Strategy**: developing, implementing and integrating e-services to enhance UP research, learning, teaching, and Library products
We strive to be a world-class 21st century academic research library enabling the University of Pretoria to be an internationally recognized research university.

<table>
<thead>
<tr>
<th>LIBRARY STRATEGIC AREAS</th>
<th>2009</th>
<th>2010</th>
</tr>
</thead>
<tbody>
<tr>
<td>Information Collection</td>
<td>Redefine the information collection to meet the challenges of the new information environment</td>
<td></td>
</tr>
<tr>
<td>Information Literacy</td>
<td>Enhance information literacy for academic success and lifelong learning by using an integrated approach</td>
<td></td>
</tr>
<tr>
<td>Enable research</td>
<td>Impact positively on research and e-research</td>
<td></td>
</tr>
<tr>
<td>Learning &amp; teaching excellence</td>
<td>Strengthen the role of the Library in the facilitation of learning and teaching</td>
<td></td>
</tr>
<tr>
<td>E-Strategy</td>
<td>Develop, implement and integrate e-services to enhance UP research, learning, teaching &amp; Library services</td>
<td></td>
</tr>
<tr>
<td>Community development</td>
<td>Contribute to community development</td>
<td></td>
</tr>
<tr>
<td>HR</td>
<td>Obtain, retain and train staff with relevant competencies and attitude</td>
<td></td>
</tr>
<tr>
<td>Sustainability</td>
<td>Ensure the sustainability of the library: Financial health, Quality assurance, Physical facilities, Marketing, Fundraising, Risk management</td>
<td></td>
</tr>
</tbody>
</table>

**UP STRATEGIC THRUSTS**

- Academic excellence
- People centered institution
- Excellence in core functions
- Excellence in support functions
- Local impact
- Transformation
- Interfaces
- Sustainability
Performance measurement needed

- New(ish) initiative straddling two important strategic areas
- New manager with limited experience
- How good is open access actually?
- Return on investment needs financial indicators
- Managing a “virtual” team and many role players need clear strategy communication
- Existing measures and quality assurance activities do not provide adequate indicators to assess performance
If you are not keeping score, you are just practicing

*Balanced Scorecard for Dummies*
Developing the strategy map

1. Outline the value creation context
2. Identify clients and stakeholders, develop client/stakeholder value proposition
3. Identify financial goals
4. Describe internal processes necessary to fulfill financial goals and client/stakeholder value proposition in terms of Operations Management, Customer Management and Innovation
5. Identify and describe the Human Capital, Information Capital and Organizational Capital that will provide capacity to drive the other three perspectives
6. Indicate logical linkage
7. Identify and describe appropriate measures
# 1: Outline the value creation context

<table>
<thead>
<tr>
<th>Mission</th>
<th>Why we exist</th>
<th>UP: … promotion of scholarship</th>
</tr>
</thead>
<tbody>
<tr>
<td>Values</td>
<td>What’s important for us</td>
<td>UP: … share information and knowledge</td>
</tr>
<tr>
<td>Vision</td>
<td>What we want to be</td>
<td>World class modern university that contributes to international knowledge</td>
</tr>
<tr>
<td>Strategy</td>
<td>Our game plan</td>
<td>Establish effective and sustainable open scholarship programme</td>
</tr>
<tr>
<td><strong>Strategy map</strong></td>
<td><strong>Strategy translated</strong></td>
<td></td>
</tr>
<tr>
<td>Balanced Scorecard</td>
<td>Measure and focus</td>
<td></td>
</tr>
<tr>
<td>Targets and initiatives</td>
<td>What we need to do</td>
<td></td>
</tr>
<tr>
<td>Personal objectives</td>
<td>What I need to do</td>
<td></td>
</tr>
</tbody>
</table>
2: Develop client/stakeholder value proposition

“Client/Stakeholder value proposition”

International researchers and public
# Free and easy access to quality research results
# Remote online access
# Manageable downloading

UP and Other Stakeholders
# Comprehensive view of research
# Increased impact and reputation
# Efficient research reporting → more income
# Mutually advantageous relationship with publishers

UP Researchers (staff and post-graduate students)
# Visibility
# One-stop access to own publications
# Effective research reporting
# Guaranteed archiving
# Uncomplicated submission process

Client/Stakeholder perspective

Financial perspective

Internal processes perspective

Learning and Growth Perspective
3: Identify financial goals

Cost-effective programme

Let others and computers do the work

More research related income for University
4: Describe internal processes

- # Implement mandates: coordinate combined effort
- # Build and manage repositories
- # Manage quality
- # Negotiate with publishers on copyright
- # Contribute to research report

- # Develop policy and standards
- # Embed UPeTD fully in postgraduate programme using Oracle
- # Migrate UPeTD (theses and dissertations) to new platform

- # Create positive comfort zone for self-archiving (researchers), and advocacy (library staff):
  - # Infrastructure
  - # Provide information, guidance, support
  - # Provide training and training material
  - # Lobbying, advocacy, marketing
5: Identify and describe capacity needs

**Human capital**
- Develop strategic competencies (project management and quality editing)
- Raise strategic awareness
- Optimise “virtual” teamwork
- Develop the ability to assess progress

**Information capital**
- Customize/integrate systems: DSpace, Oracle, RIMS
- Capture and re-use our knowledge
- Create copyright/accreditation databases

**Organizational capital**
- Coordinate Library and UP operations
- Strengthen strategic alliances with Dept Research Support, faculties, publishers and Academy of Science of SA
6: Add logical linkage

STRATEGY MAP FOR THE UNIVERSITY OF PRETORIA’S OPEN SCHOLARSHIP PROGRAMME

“Client/Stakeholder value proposition”

Client/Stakeholder perspective

International researchers and public
- Free and easy access to quality research results
- Remote access
- Manageable data loading

UP Researchers (staff and students)
- Visibility
- One-stop access to own publications
- Effective research reporting
- Guaranteed archiving
- Uncomplicated submission process

UP and Other Stakeholders
- Comprehensive view of research
- Increased impact and reputation
- Efficient research reporting = more income
- Mutually advantageous relationship with publishers

Financial perspective

Cost-effective programme

Let others and computers do the work

More research related income for university

Operations management

- Implement mandates: coordinate combined effort
- Build and manage repositories
- Manage quality
- Negotiate with publishers on copyright
- Contribute to research report

Customer management

- Create positive comfort zone for self-archiving researchers and advocacy
- Library staff: infrastructure
- Provide information, guidance, support
- Provide training and training material
- Lobbying, advocacy, marketing

Innovation

- Develop policy and standards
- Embed UPeTD fully in postgraduate programme with Oracle
- Migrate UPeTD (theses and dissertations) to new platform

Human capital (skills, knowledge, training)

- Develop strategic competencies (project management and quality editing)
- Raise strategic awareness
- Optimize “virtual” teamwork
- Develop the ability to assess progress

Information capital (systems, databases, networks, own knowledge)

- Customize/integrate systems: DSpace, Oracle, RIMS
- Capture and re-use our knowledge
- Create copyright/accreditation databases

Organizational capital (culture, leadership, alignment, teamwork)

- Coordinate Library and UP operations
- Strengthen strategic alliances with Dept Research
- Support, faculties, publishers and Academy of Science of SA
7: Identify and describe measures

STRATEGY MAP FOR THE UNIVERSITY OF PRETORIA’S OPEN SCHOLARSHIP PROGRAMME

- Collection growth
- Collection usage
- Anecdotal evidence
- Submission cost per item
- % self-submissions
- Monetary value of “discovered” papers
- Copyright issues resolved
- Collection growth
- Learning and Growth Perspective
- Information capital (systems, databases, networks, own knowledge)
- Organizational capital (culture, leadership, alignment, teamwork)
- Develop strategic competencies (project management and quality editing)
- Raise strategic awareness
- Optimize "virtual" teamwork
- Develop the ability to assess progress
- Coordinate Library and UP operations
- Strengthen strategic alliances with Dept Research Support, facilities, publishers and Academy of Science of SA
Conclusion

- Effective tool for clarifying, translating and communicating strategy
- Simplifies implementation and monitoring of progress
- Holistic view of strategy and progress
- Very effective for developing measures for new initiatives
- Limited to one programme it is manageable, sustainable and transferable
Thank you!

Questions and comments

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