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ACADEMIC LIBRARY SUCCESSION PLANNING IN THE UNIVERSITY OF
CALIFORNIA (UC) SYSTEM

by

Crystal Leigh Goldman

A dissertation submitted in partial fulfillment
of the requirements for the degree of

Doctor of Philosophy

May 2022

Dissertation Committee

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ABSTRACT

The Library and Information Science (LIS) literature has made clear that academic libraries in the U.S. have experienced decades of hiring freezes and budget cuts that reduced staffing overall and eliminated many middle management positions. Consequently, now that baby boomer library managers and administrators are beginning to retire, there are few qualified applicants to replace them. Thus, many in the LIS field have called for better succession planning by top-level library administrators (e.g., Deans, Directors, University Librarians). Few studies, however, have directly addressed this issue by examining these administrators' perceptions or behavior regarding succession planning. This study begins to fill this literature gap through semi-structured interviews with all 10 of the University Librarians (ULs) in the University of California (UC) system.

The study employed a case study/cross-case analysis design; each participant-UL was considered a case. During data analysis, a within-case thematic analysis was conducted for each participant and then a cross-case analysis was undertaken to compare and contrast the ULs' perspectives on succession planning. A theoretical framework drawn from the field of sociology was used to better understand the perceptions and behavior of participant-ULs regarding this topic. This framework suggested examining the structure and culture of the context in which each UL worked, as well as the perceived agency of each participating UL.

This study's findings suggest that structure, culture, and agency can significantly impact how and why the ULs engage or do not engage in succession planning. For example, the retirement pension for UC employees encourages long-term retention, which leads to low employee turnover. A static population may resist a ULs' attempts at cultural change. Thus, both low turnover and resistance to change can make succession planning a challenge for ULs.

The results of this study contribute to both LIS literature and practice in at least two ways. First, this study's findings could be useful to other academic library administrators, given that the study identifies potentially transferable strategies that the ULs in the study are utilizing to succession plan. Second, this study helps further a conversation in the disciplinary literature about how and why to develop future library leaders.

DEDICATION

This dissertation is dedicated to my husband, Dr. Frank Jacobitz, who encouraged me to continue my education and get my doctorate. We're going to confuse people forever, since he works at USD and got his PhD from UCSD, and I work at UCSD and got my PhD from USD, but they'll eventually figure it out.

My dissertation is likewise dedicated to my best friend, Michal Davidson, who has been with me on this higher education journey since our very first day of undergraduate classes as history majors at CSU Sacramento. Back then, I thought I'd be a history professor, but librarianship won me over in the end. It may have taken me twenty years longer than expected to get my doctorate, and in a totally different field, but Michal always believed in my ability to achieve this life goal. So, just to make it clear and put it in writing: she was right.

I would also like to dedicate this dissertation to my UC San Diego Library colleagues, Amanda Roth, Dominique Turnbow, and Timothy Chu, who all covered for me at some point in this degree process so I could focus on finishing a class paper or project. Truly, I can never express how amazing my fellow librarians are—everyone should be lucky enough to have such supportive people surrounding them.

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Also, my sincere thanks to Lili Luo, who likely never suspected she'd be tapped for my dissertation committee when she taught an SJSU library research methods course I took as an open university student. I am deeply indebted to Lea Hubbard, who introduced me to the theoretical framework that underpins this dissertation—I had never applied a theoretical framework to a study before her qualitative research methods course, so I'm glad she kept insisting that I needed one! I would also be remiss if I failed to mention Afsaneh Nahavandi, who first introduced me to leadership theories and guided me through the literature review that eventually became my Qual A paper.

I would also like to thank the folks who patiently answered my questions regarding our UC librarian union, the University Council-American Federation of Teachers (UC-AFT). Larissa Dorman-Cobb (UC San Diego UC-AFT Field Representative) and Miki Goral (UCLA Librarian/UC-AFT Secretary-Treasurer) saved me many hours of swimming through the union contract language and our long collective bargaining history by steering me toward the most relevant information for my needs.

Additionally, I must acknowledge that the license for the MAXQDA data analysis software I used for my dissertation was funded by a grant from my local San Diego chapter of the Librarians Association of the University of California (LAUC-SD). I sincerely appreciate their support for my research.

Last, but certainly not least, I am so very grateful to all the UC University Librarians who took the time to participate in this study. You truly demonstrated how much you value life-long learning for UC librarians.

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CHAPTER ONE

INTRODUCTION TO THE STUDY

A variety of factors have contributed to a professional crisis in the field of Library and Information Science (LIS). This crisis involves a high number of upper and middle management positions opening in the past five years and an underqualified applicant pool available to fill those positions (Davis, 2017; Heyns, Eldermire, & Howard, 2019; Long & Sheehan, 2015). Financial strains brought on by downturns in the economy meant that many universities faced years of hiring freezes during which few to no new staff or faculty—including librarians—were hired (Arthur, 1998; Long & Sheehan, 2015). In response to substantial budget cuts and staffing reductions, many academic libraries have also undergone significant organizational restructuring that often resulted in fewer middle management positions (Lugg & Fischer, 2007; Feldmann, Level, & Liu, 2013).

These substantial organizational and budgetary shifts took place over the past two decades, and many of the academic library leadership and management positions during this time were dominated by the most experienced (i.e., the oldest) librarians. Now that those librarians are beginning to retire, there are not enough qualified applicants with leadership education or experience to fill the management positions opening in the field. Indeed, the shortage of leaders in the profession was estimated to reach a critical stage beginning in 2010, when half of library directors in the United States reached retirement age, and this trend continues to the present day (Heyns, Eldermire, & Howard, 2019; Lipscomb, Martin, & Peay, 2009; Mason & Wetherbee, 2004; Wilder, 1995, 2003, 2018).

Complicating this leadership crisis is the fact that librarians rarely enter the profession with aspirations of becoming managers, resist management education as students in LIS graduate

programs, and would likely have to gain functional expertise in a different (i.e., non-management) area of librarianship for at least a decade before they applied for a management level position within an academic library (Anspaugh & Lubans, 1987; Line, 2007; Rowley & Roberts, 2008; Singer Gordon, 2005; Webster & Young, 2009; Wittenbach, Bordeianu, & Wycisk, 1992). Hence, without some encouragement from administrators in their library, many librarians would have difficulty picturing themselves as a manager and may never seriously consider taking on a management role (Anspaugh & Lubans, 1987; Singer, Goodrich, & Goldberg, 2004; Vincent, 1988). It is perhaps unsurprising, then, that several scholarly articles have pointed to the lack of adequate succession planning on the part of library administrators as a significant determinant in the present underqualification crisis (Bridgland, 1999; Curran, 2003; Galbraith, Smith, & Walker, 2012).

Problem Statement

When librarians are underprepared for management, they can often struggle to adapt to their new roles (Salzmann & Pecseyne, 2017; Singer Gordon, 2005). One particular challenge that several librarians have noted is the difficulty novice managers might have in balancing the competing expectations of managing a department with supervising other librarians' work, because a role dissonance exists between these two functions (Howze, 2003; Kearley & McCarthy, 2011).

In their article about succession planning in academic libraries, Webster and Young (2009) remarked that

Academic librarians often become leaders by being functional experts and gain initial experience in a specialty. Many are then called upon to play management and administrative roles for which they have not prepared and frequently do not desire. These

frontline supervisory assignments may lead to success and advancement into a middle-management role. As a result, librarians often find that they have drifted into leadership roles and responsibilities without adequate preparation and must rely on instinct and adaptability to grow in these roles. Frequently, these early struggles lead to a loss of self-confidence and an unwillingness to seek additional leadership assignments. (p. 782)

The notion of a library manager who unintentionally drifted into the position is not new or novel in LIS (Salzmann & Pecseyne, 2017; Singer Gordon, 2005; Webster & Young, 2009). Rachel Singer Gordon (2005) wrote a long-standing column for the website LISJobs.com called *The Accidental Library Manager* before publishing a book by the same title, in which she discussed the results of a survey study (n=587) that indicated many U.S. librarians had, indeed, accidentally and reluctantly found themselves in management roles. Unfortunately, research has shown that when leaders perceive that they are underqualified, it decreases both job satisfaction and organizational commitment while at the same time increasing job turnover, which further highlights the need for libraries—or, rather, library administrators—to develop the leadership competencies of librarians with management potential (Sim & Lee, 2018).

Despite the evidence that library succession planning could improve preparation, recruitment, and retention of library managers, significant knowledge gaps remain about how or if succession planning is implemented in many academic libraries. Specifically, how, why, and if library administrators approach succession planning is ill-understood and could benefit from further scholarly attention. Indeed, much still can and should be done to understand the current situation, which has the potential to close some of the identified gaps—explored more fully in the following literature review chapter—and better position the profession to overcome the existing underqualified manager crisis.

Purpose and Research Questions

The purpose of this study was to advance understanding on how succession planning is perceived and addressed by individual library administrators, specifically those in libraries with one or more middle management layers. Academic libraries on the 10 University of California (UC) campuses have the prerequisite organizational hierarchy, so all 10 top-level library administrators (i.e., University Librarians) in the UC system were interviewed for this study.

The following research questions guided this study:

1. What are the perceptions of UC University Librarians (ULs) regarding the importance of succession planning?
2. What strategies, if any, are these 10 ULs using to succession plan?
3. What structural, cultural, and agentive factors, if any, influence these ULs' ability or desire to succession plan?
 - a. Structurally, what policies or practices are in place, if any, that influence succession planning?
 - b. Culturally, what contextual or local dynamics, if any, impact succession planning?
 - c. How do ULs' individual practices, behaviors, or dispositions influence the succession planning process?

CHAPTER TWO

LITERATURE REVIEW

There are several bodies of literature that must be discussed to frame a study of the issue of academic library succession planning. First, it is essential to recognize that succession planning as a concept emerged in the corporate sector, which differs in several significant ways from the academy. Next, academic libraries are positioned within institutions of higher education, so succession planning in the academy is also key to the discussion at hand. Additionally, it is necessary to understand how libraries typically define and enact succession plans. Likewise, in order to position the study within the existing scholarship, it is useful to note what kinds of articles have been written on this topic in LIS literature. Then, if library administrators are expected to grow future managers in their libraries, it is important to investigate whether appropriate leadership and/or management competency models have been developed for librarians. Finally, the theoretical framework that underpins this study needs to be explored and grounded in the existing literature. Each of these tasks will be addressed in this chapter.

Corporate Succession Planning

The first detailed descriptions of how large corporations planned for the eventual replacement of their executive officers came in the mid-1970s, with the publication of *Executive Continuity*, which focused on the practice of leadership development in companies such as General Electric and Exxon (Mahler & Wrightnour, 1973). By the 1980s, many Fortune 500 companies had adopted—at least on the surface—practices that mirrored those described by Mahler and Wrightnour. Unfortunately, those practices became mired in bureaucracy and failed to deliver the desired results (Kesler, 2002). In response, Mahler and Drotter published a 1986

handbook for succession planning aimed at Chief Executive Officers (CEOs), which emphasized that the CEO could not delegate the responsibility of selecting and developing future managers—a point also made in Mahler and Wrightnour's (1973) original work—and the degree to which a succession plan succeeded or failed could be attributed to the CEO.

While involving the CEO, Walker (1992) advocated for a broader, systematic approach to succession planning that involved all managers in a corporation. He noted that it is “far easier to be a mentor and sponsor for your own selected successors [i.e., replacement planning] than to work with other managers in a systematic process of evaluation, rotations, and career guidance for a pool of management candidates [i.e., succession planning]” (Walker, 1992, p. 223). However, he argued that the more intensive succession planning process was crucial to defining future management requirements within an organization and developing individuals to fulfill those requirements. While maintaining the importance of involving management throughout a corporation, he also stated that succession planning should be driven by senior management in order to align managerial development with business strategy (Walker, 1992).

Several years later, the *McKinsey Quarterly* published a survey of 6,000 executives from “top 200” corporations in a variety of industries in the United States and found that 75% of them suffered from shortages in management talent (Chambers et al., 1998). The authors offered encouraging advice on recruiting, retaining, and developing future managers, but still ominously predicted that “companies are about to be engaged in a war for senior executive talent that will remain a defining characteristic of their competitive landscape for decades to come. Yet most are ill prepared, and even the best are vulnerable” (Chambers et al., 1998, p. 46).

The turn of the millennium saw the publication of articles and book chapters lamenting the difficulties—while lauding the importance—of succession planning and talent management

for human resource (HR) officers and consultants (Kesler, 2002; Pascal, 2004). This shift to not only delegating succession planning to HR officers but also outsourcing it to consulting firms demonstrates a departure from earlier wisdom on centering managers and executives in these processes (Mahler & Drotter, 1986; Mahler & Wrightnour, 1973; Walker, 1992). Further illustrating this shift was a 2006 qualitative study wherein 50 CEOs and HR managers were interviewed (Guthridge, Komm, & Lawson, 2006). The results reinforced prior points made in the 1970s-1990s: that executives and line managers must be actively engaged in succession planning procedures for them to succeed, and strategies for succession should be linked to business strategies (Guthridge, Komm, & Lawson, 2006; Mahler & Drotter, 1986; Mahler & Wrightnour, 1973; Walker, 1992). The authors also found that corporations which rely solely on HR managers for succession planning are missing an opportunity to align their workers' behavior and abilities with broader business priorities (Guthridge, Komm, & Lawson, 2006).

More recent quantitative research has solidified how significant CEOs are to company outcomes, which highlights why they should be involved in selecting their successors, but this research has also shown that if CEOs remain on as chairmen of the board they can restrict their successor's ability to make gains (Quigley & Hambrick, 2012, 2014). Along similar lines, other scholars and practitioners have stressed that corporate boards are often responsible for hiring chief executives, and board members may neither have been involved in the company's succession planning processes nor have appropriate experience in judging or selecting qualified executive candidates (Fernández-Aráoz, 2015; Schepker et al., 2018). This underscores the findings of Guthridge, Komm, and Lawson (2006), who discovered that even when companies put substantial time and resources into developing succession plans, those plans are not necessarily followed when executive positions turn over.

The concept of planning for the succession of executive positions arose in the corporate sector in the 1970s and has evolved in the decades since from an emphasis on replacement planning that centered primarily on the CEO selecting a successor to a more intensive succession planning process that involves managers throughout an organization growing a pool of managerial candidates. That said, the corporate sector has not managed to perfect the succession planning process, and recent publications show several areas of potential improvement for the development and implementation of succession plans. Despite the difficulties of succession planning in its native sector, many other areas, such as academia, have adopted forms of succession planning as part of their organizational practice.

Succession Planning in Academia

Though the notion succession planning originated in the private sector, approaches to succession planning can vary widely between industries (Buffone, 2009). Generally speaking, succession planning is understood as identifying and training future managers for an organization (Buffone, 2009). However, with the differing practice between sectors, it is important to grasp how this concept is enacted in higher education, which is one of the primary contexts in which academic libraries are situated (the other being LIS, which is covered in the next section).

In many ways, the projections for leadership gaps in higher education echo those already mentioned for academic libraries. Several studies have indicated a large turnover in senior administrators is eminent, noting that more than 50% of college and university presidents in the United States are over 61 years of age, and their direct deputies (e.g., vice presidents, provosts) are, on average, only a year or two younger (Betts, Urias, & Betts, 2009; Gagliardi, Espinosa, Turk, Taylor, 2017). Even with a leadership crisis looming, scholarly attention toward succession planning in higher education in the U.S. has been rather scant (Washington, 2016). Indeed, the

most common academic publications to focus on higher education succession planning in recent years have been doctoral dissertations rather than journal articles or conference papers (Adams, 2013; Buckway, 2020; Buffone, 2009; Grossman, 2014; Keller, 2018; King, 2019; Knirk, 2013; Mackey, 2008; McManus, 2013; Richards, C. L. 2009; Richards, R. C., 2016; Robinson, 2017; Tison-Thomas, 2019).

These dissertations typically examine succession planning perceptions and/or practices in one or more of a specified type of higher education institution (e.g., public, private, community college, university) within a defined geographic area in the United States (e.g., city, state, region). Thus, their scope is similar to the current dissertation study, but with an emphasis on campus leadership rather than library leadership. Findings from these campus-level focused dissertations indicate that formal succession planning is a rare occurrence in higher education, regardless of institution type or location. Succession planning is also often misunderstood and ill-communicated in the academic environment, although many campus administrators value and informally implement some aspects of succession planning. That said, while these informal planning processes may provide some information about how leaders are developed in higher education, the informality makes it inherently difficult to evaluate what makes a plan effective or ineffective in a given context. Recommendations and/or calls for action from these dissertations generally include strategies for a) implementing systematic succession plans in higher education institutions that create a pipeline to develop faculty into administrators and administrators into campus presidents, b) formalizing leadership knowledge transfer, training, and mentoring, c) improving the design of performance reviews for administrators in higher education, and d) creating communication plans about succession planning procedures that are appropriate for academic culture (Adams, 2013; Buckway, 2020; Buffone, 2009; Grossman, 2014; Keller, 2018;

King, 2019; Knirk, 2013; Mackey, 2008; McManus, 2013; Richards, C. L. 2009; Richards, R. C., 2016; Robinson, 2017; Tison-Thomas, 2019).

Outside of dissertations, the most frequent coverage of academic succession planning—or, rather, the lack of succession planning—tends to be found in trade publications such as *Inside Higher Ed* and the *Chronicle of Higher Education*. Taken together with the limited number of scholarly articles and conference papers available on the topic, these authors cite a number of reasons as to why colleges and universities are slow to adopt formal succession planning processes, including a professional culture that resists change, values tradition, promotes egalitarianism, and favors external hires (Barden, 2008; Barden, 2009; Barton, 2019; Bennett, 2015; Klein & Salk, 2013; Moser, 2008; Washington, 2016). Given the anticipated mass retirement of academic administrators—slightly delayed, perhaps, due to the COVID-19 pandemic (Whitford, 2020; Lemons, 2021)—one article in the *Chronicle of Higher Education* noted that

The greatest danger...lies in the fact that higher education has a long and inglorious track record when it comes to identifying, developing, and selecting leaders—and without strong, capable leadership, a university can hardly navigate the turbulent waters ahead. Leadership may have mattered less in a more munificent, less competitive, slower-to-change environment, but that no longer describes the situation. (Bennett, 2015, para. 2)

Even in institutions where leadership development is taking place, the tendency in academia is to favor hiring outside candidates, making it less likely that someone could go from faculty to administrator within the same university (Richards, 2016). This is what Barden (2008) calls *internal-candidate syndrome*, where academic institutions are not confident that their internal candidate is more talented than outsiders, due to institutional isolation, as well as a

general unwillingness by academics to embrace succession planning. Barden (2008) also mentioned that part of this unwillingness to hire internal candidates for administrative positions is because succession planning is “in short, intentionality, favoritism, and special treatment... concepts [that] are then perceived to fly in the face of shared governance, academic freedom, and, of course, tradition (‘the way we have always done things’)” (para. 13). Several years later, Stripling (2011) also argued that the mere concept of succession planning is anathema to higher education culture.

This dedication to cultural traditions can make change of any kind difficult; for example, if a university has both a strong board of trustees and strong shared governance, the board and faculty disagreeing on a potential change—such as succession planning—could quickly stall any forward movement by either side (Fethke & Policano, 2012). Davis (2015) contended that the real difficulty with buy-in for succession planning lies in a “lack of understanding of its true nature. Clarifying the core aspects of succession planning may perhaps make it a bit more palatable for higher education” (para. 2). However, even if succession planning is considered desirable by all university stakeholders, some of the primary strategies corporations use to increase employee leadership capacity—job rotations, short-term reassignments from primary jobs duties, and “stretch” assignments in management—are often not part of academic working environments and might be difficult to implement within existing institutional structures (Barton, 2019; Hoffman, Casnocha, & Yeh, 2014; Sanaghan, 2016).

In summary, the calls for effective succession planning in higher education have increased with the rapid retirement of baby boomer campus presidents and their deputies (i.e., those most qualified to succeed the president), but there is little evidence to suggest that such planning is taking place in colleges and universities on anything other than an informal basis.

While there are some aspects of succession planning that are valued and enacted by academic administrators, the same may not be true for faculty and, without faculty buy-in, succession planning pipelines would be difficult to implement. Thus, the prevailing culture and existing structures in higher education organizations are not, at present, amenable to succession planning procedures, despite the pressing professional need in academia and the many warnings from scholars and practitioners of dire consequences if succession plans are not implemented. That academic libraries exist within higher education institutions means that they are, in many ways, part of the same culture and structures that resist the changes necessary to enact succession planning strategies.

Library Succession Planning

While academic libraries must be considered in the context of higher education, they are also situated in the context of library and information science as a field. Thus, it is crucial to understand how the concept of succession planning is defined by LIS scholars and practitioners. Furthermore, it is necessary to explore how succession planning has been studied within the disciplinary literature. These topics will be covered in this section.

While some succession plans focus solely on preparing potential replacements for the top manager in a library (e.g., the Dean, Director, or University Librarian), others deal with developing key leadership and/or professional skills throughout the organization (Carter, 1986; Galbraith, Smith, & Walker, 2012; Rothwell, 2005). Library succession plans can also “prepare employees for positions that may not have direct managerial responsibilities; for example, highly specialized positions that require extensive training, such as conservationists” (Galbraith, Smith, & Walker, 2012, p. 222). While there are many ways to define succession planning, almost all of them emphasize that it takes a deliberate and systematic effort on the part of an organization,

with the goals of a) ensuring leadership continuity for critical positions, b) growing and retaining intellectual and knowledge capital, and c) encouraging individual advancement (Bridgland, 1999; Rothwell, 2005).

Succession planning should involve developing a strategic plan to assess the leadership knowledge and skills of current librarians, identify those who have potential to advance into more demanding leadership roles, and provide opportunities to cultivate that potential (see Figure 1) (Day, 2014; Murray, 2007; Singer & Griffith, 2010). To that end, good succession planning should begin with recruitment of librarians who have high potential for future leadership (Fitsimmons, 2013). Effective succession planning creates a library organizational environment ready to respond to “sudden changes, critical backups, and individual development. Leadership can be dispersed throughout an empowered high-performance work team with the technical knowledge and experience required to pass on to successors for organizational stability” (Hall-Ellis & Greal, 2013, p. 587).

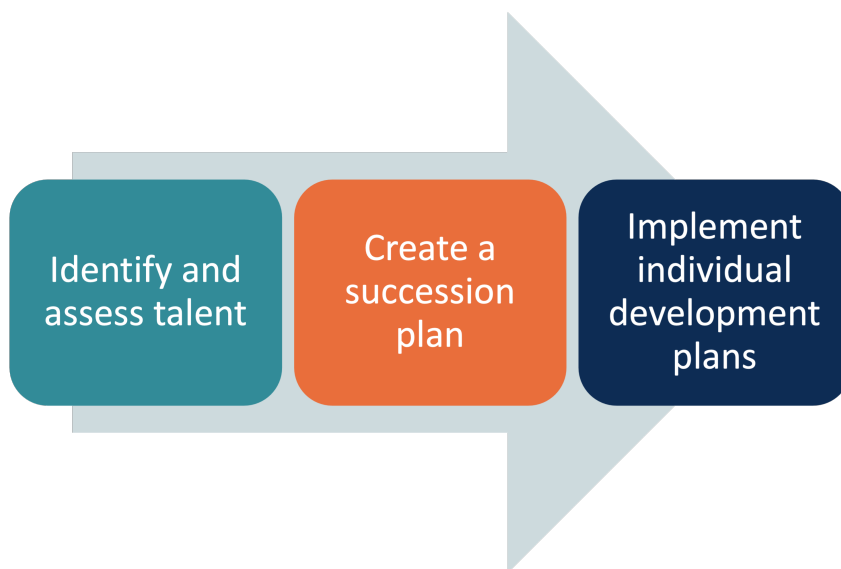


Figure 1. Singer and Griffith’s (2010) suggested steps to library succession planning.

Unfortunately, articles that discuss the need for succession planning often also point out how library administrators on the whole have not yet succeeded in putting this type of plan into action, and that failure to do so will come at great cost to the profession (Bridgland, 1999; Curran, 2003; Webster & Young, 2009; Galbraith, Smith, & Walker, 2012; Hall-Ellis & Greal, 2013). Curran (2003) mentioned that libraries had previously relied on recruiting experienced managerial candidates from other libraries as part of their succession plan, which is no longer a viable option given the shrinking pool of qualified candidates as the most experienced library leaders continue to retire.

In fact, the majority of the literature surrounding succession planning in libraries falls into a few notable categories, including:

- case studies that deal with succession planning in a single library (Murray, 2007; Singer, Goodrich, & Goldberg, 2004),
- descriptive quantitative or mixed method studies on leadership training and/or competencies that only tangentially discuss succession planning (Banush, 2020; Hall-Ellis & Greal, 2013; Webster & Young, 2009),
- opinion or concept articles based on an extensive review of the existing literature surrounding library succession planning (Bridgland, 1999; Curran, 2003; Fitsimmons, 2013; Hall-Ellis, 2015; Weare, 2015) or
- reflective pieces that lament the dearth of literature on library succession planning (Nixon, 2008; Rowley & Roberts, 2008).

Few studies directly address succession planning in more than one academic library; one exception to this statement was a study I conducted and will discuss later in this chapter (Goldman, 2020). Only one other study by Galbraith, Smith, and Walker (2012) looked at this

topic across multiple academic libraries; it reported the quantitative results of a survey that was completed by a human resources manager in each library (n=34) about opinions and practices regarding “specific succession planning principles” (p. 221). What the literature lacks, then, are multi-university studies involving qualitative interviews that allow others to understand not just the behavior of library administrators in regard to succession planning, but also the perceptions and context that makes this behavior meaningful (Patton, 2015).

It is clear that some attention has been given to library succession planning, but numerous gaps remain within both LIS practice and scholarship, as evidenced by the present underqualified managerial applicant crisis. The discipline allows for a fairly wide definition of what constitutes succession planning, but there is scant information available about how or if succession planning is enacted in U.S. academic libraries. Indeed, even less is known about how, why, or if library administrators approach succession planning in their organizations. This sparsity of data allows for little understanding of the current situation surrounding academic library succession planning and underscores the need for additional research in this area. Such research has the potential to close some of the aforementioned gaps, which could better equip the profession to deal with the present crisis.

Library Leadership Competencies

Complicating the issue of succession planning in academic libraries is the inability or unwillingness for those in the profession to come to a consensus on core competencies needed in a library leader (Ammons-Stephens, Cole, Jenkins-Gibbs, Riehle, & Weare, 2009; Bryant & Poustie, 2001; Mason & Wetherbee, 2004). Multiple articles have been published on attributes and competencies desirable in all levels of library leaders, from middle managers (e.g., unit heads or department chairs) to administrators (e.g., Deans or University Librarians). None of

these represent a formal competency model, and there continues to be a significant amount of diversity in ideas for appropriate library-related leadership competencies.

Generally, these articles provide different attributes and competencies that can include the abilities, knowledge, attitudes, skills, values, behaviors, and personal characteristics that leaders need in order to be successful in their positions (Hernon, Powell, & Young, 2001, 2002, 2004). The methodological approaches in these articles vary widely, including quantitative survey research (Jange, 2011), qualitative studies that explored the perspective of either leaders or followers (Ammons-Stephens et al., 2009; Cottam, 1987; Martin, 2018; Sheldon, 1991), in-depth interviews combined with content analysis (Rajapakse & Kiran, 2017; Wilkins Jordan, 2012), library management case studies (Riggs, 1993), and essays reflecting on personal experience as a library administrator (Aslam, 2018; Bugg, 2016; Creth, 1988; Knight, 2009; O'Connor, 2014; Sullivan, 1991; Sweeney, 1994).

Articles describing desired library leader characteristics suggest that leaders need to be flexible, energetic, enthusiastic, empathetic, mature, wise, creative, courageous, risk-taking, self-confident, principled, credible, gregarious, articulate, results-oriented, determined, and possess a sense of humor (Cottam, 1987; Jange, 2011; O'Connor, 2014; Sweeney, 1994; Wilkins Jordan, 2012). A deeper review of the scholarship that surrounds library leadership details essential leader skills for librarians, including the need to be assertive and self-aware (Cottam, 1987), to communicate an overarching vision (Ammons-Stephens et al., 2009; Bugg, 2016; Riggs, 1993; Wilkins Jordan, 2012), to be open to new ideas (Jange, 2011), to have good decision-making abilities (Bugg, 2016; Rajapakse & Kiran, 2017), to be innovative and problem-solving, to be technically and professionally competent, to be willing to delegate, to have the trust of library staff members (Aslam, 2018; Sheldon, 1991; Wilkins Jordan, 2012), to empower others

(Sullivan, 1991), and to value people (Creth, 1988). Library leaders must also possess a high level of integrity, accountability, communication skills, political understanding, negotiation skills, advocacy skills, fund-raising abilities, planning skills, resource management, change management, and customer service (Bugg, 2016; Knight, 2009; Wilkins Jordan, 2012), while at the same time they must display cognitive ability, emotional intelligence, interpersonal effectiveness, and managerial effectiveness (Ammons-Stephens et al., 2009; Martin, 2018).

All of these authors put forth different lists of potential competencies, many with marked overlap. Despite this sizeable body of work, the field does not yet have an accepted set or sets of core leadership competencies. Many LIS scholars have called for professional standards to be instituted for library leadership and management, and it would seem that such guidelines would do much to improve preparation and retention of new library managers and might assist in better succession planning (Mackenzie & Smith, 2011; Mason & Weatherbee, 2004; Matteson, Schlueter, & Hidy, 2013; Rooney, 2010; Thompson, 2006).

Previous Study and Theoretical Framework

As mentioned above, I previously engaged in qualitative research regarding academic library succession planning, and through this research was able to identify a theoretical framework to assist in analyzing and making meaning of the collected data. Therefore, it is necessary here to discuss both my prior scholarship and the context it provided to the current study as well as the theoretical concepts that underpinned this study.

Previous Study

After noting the lack of qualitative research to help make meaning of library administrators' beliefs and behaviors regarding succession planning, I conducted a study similar to the one discussed in this dissertation. That study took place throughout the Leadership Studies

qualitative research methods two-course series (i.e., LEAD 608 and 612) during the spring and fall semesters of 2018 at the University of San Diego (USD). The research focused on succession planning in academic libraries with flat organizational hierarchies (see Figure 2), and semi-structured interviews were conducted with six of the 23 California State University (CSU) library deans (Goldman, 2018, 2019, 2020).

One of the findings of this study was that collective bargaining agreements in the CSUs classify librarians as faculty, and CSU faculty are not allowed to manage other faculty, thus forcing the library to maintain a flat organizational hierarchy while simultaneously making it impossible to grow a librarian's skills as a manager by promoting them into progressively higher management positions (i.e., succession planning) (Goldman, 2020). Therefore, a logical next step in building greater understanding of this topic was to study succession planning in academic libraries where a flat organizational structure is not contractually mandated, so there might be one or more middle management layers (i.e., a tall organizational structure), which is the case in the University of California system (see Figure 3).

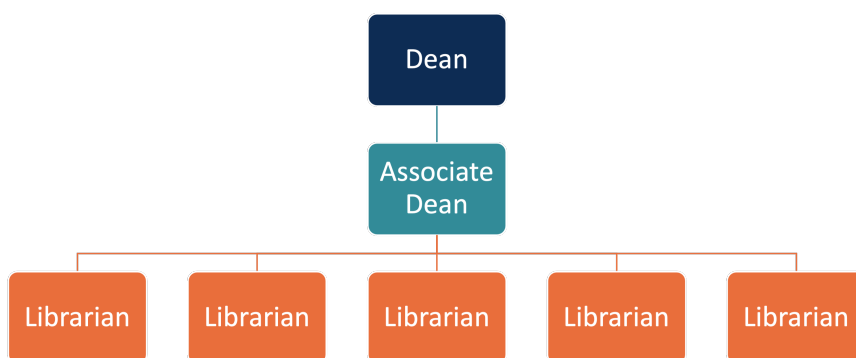


Figure 2. Example of a flat academic library hierarchy.

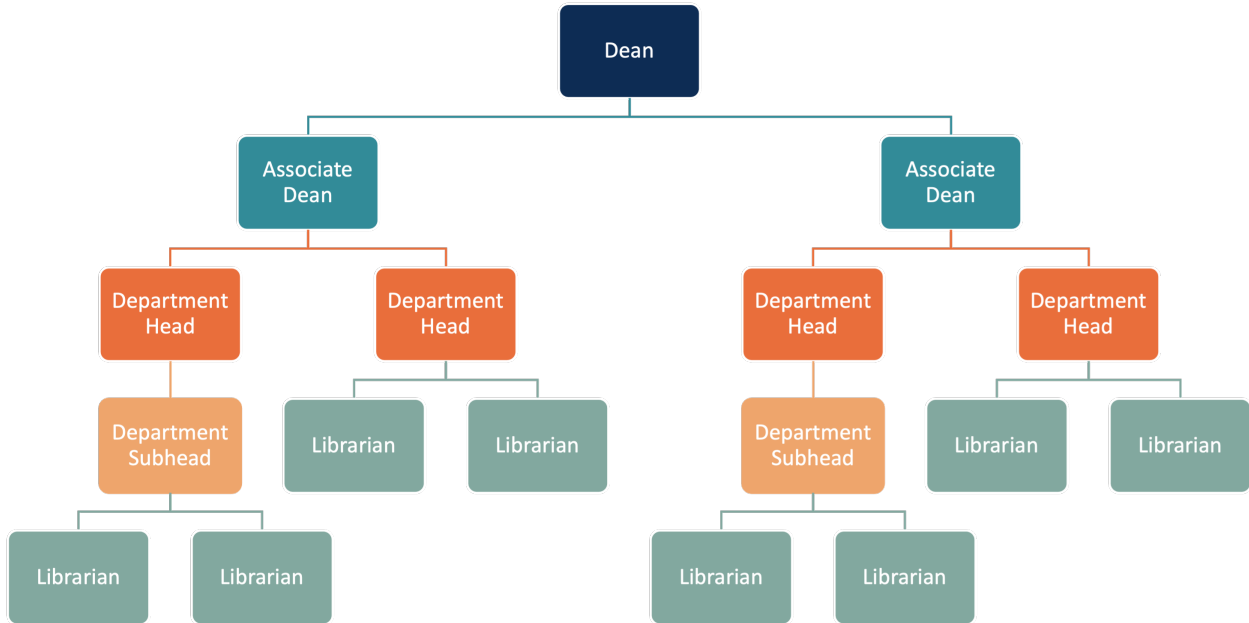


Figure 3. Example of a tall academic library hierarchy.

Theoretical Framework

In the CSU study, a theoretical framework with which to make meaning of the data became clear during the analysis process (Goldman, 2020). Given that the present UC study extends the research agenda set forth by its predecessor, that same framework was built into this study from the outset. Specifically, this is the theoretical framework of structure, culture, and agency, which are “sociological concepts to describe the social construction of a phenomena” (Sleiman, 2018, p. 7).

Culture can be defined as “all socially located forms and processes of human *meaning-making*” which can generate “artifacts, categories, norms, values, practices, rituals, symbols, worldviews, ideas, ideologies, and discourses” (Spillman, 2011, p. 112-113). Investigating culture means looking at the ways in which human meaning-making happens, how meanings influence human action, why meanings vary between individuals or across groups, and how meaning-making impacts both solidarity and conflict (Spillman, 2011).

Agency is the “faculty for action... An actor can act, but also not, and can also act in different ways” (Fuchs, 2011, p. 8). There are a number of dimensions to agency, such as goal-seeking and purposivity, judgement and intention, and routinized practice (Emirbayer & Mische, 1998; Fuchs, 2011). Agency is best understood when considering the interplay of these dimensions in the context of time, since actions are informed by the past while still being oriented toward the present and future (Emirbayer & Mische, 1998). Actions, therefore, are motivated by experience and intention. In order to grasp the nuances of agency, scholars must “understand and interpret the meanings and intentions that actions have for their actors” (Fuchs, 2011, p. 9).

Durkheim (2013) considered the sociological concept of structure as similar to the architectural frame of a building, as in structure is the metaphorical, internal “frame” of society. Social structures are considered relatively fixed or stable and maintain the order, patterns, and regularities of social life, including institutions, organizations, and systems (Archer, 2007; Form & Wilterdink, 1999; Hays, 1994; Stones, 2011). Lopez and Scott (2000) claim there are three ways to conceptualize structures:

1. Structures can be relational, such as the social relations that bind people into groups or social systems (e.g., kinship, religion, etc.).
2. Structures can be institutional, such as the mutual knowledge, ideas, beliefs, values, symbols, and expectations that allow members of a society to communicate with each other.
3. Structures can be embodied, such as rules or norms held in the minds of individuals within institutions. These normative expectations begin as people are socialized as children and continue as they adapt to various roles they occupy as adults.

Despite the crucial role that structure plays in social analysis, Hays (1994) noted that scholars' use of the term is often ambiguous, where structure's meaning is merely implied "by opposing it to agency or by contrasting it to culture, thus reducing 'structure' to pure constraint and suggesting that 'culture' is not structured" (p. 57). Others have also noted the difficulty of teasing out the meaning of even one of these concepts without referencing one or both of the others (Form & Wilterdink, 1999; Stones, 2011). For example, structures can both enable and constrain individual action, and individuals can "tacitly understand and creatively choose the cultural values guiding their actions" (Hays, 1994, p. 60). The dynamic interplay between structure, culture, and agency is inescapable, which explains why it is important to examine all three (see Figure 4).

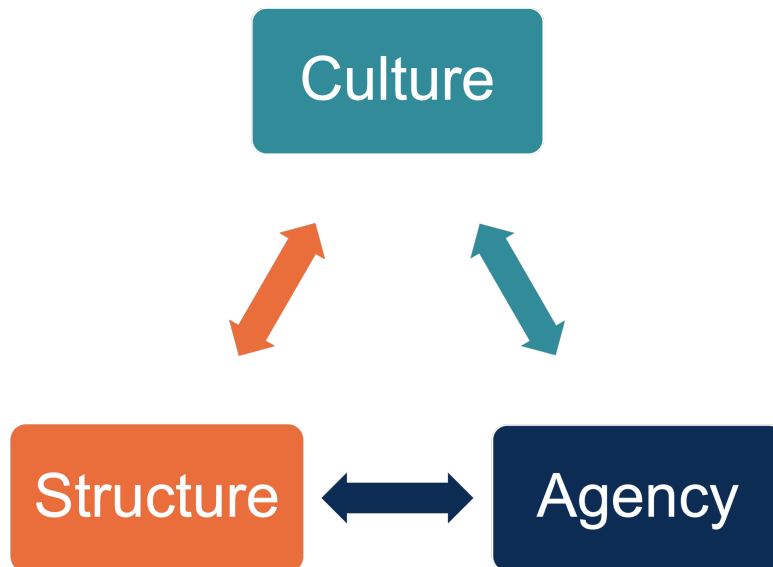


Figure 4. The reflexive relationship between structure, culture, and agency.

Indeed, Datnow, Hubbard, and Mehan (2002) point out that "structure, culture, and agency construct each other," they "work reflexively," and in "the agency of individuals we see structure and culture operating; in culture, we see structure and agency; and in structure, we see agency and culture" (p. 16). Understanding the intersections of structure, culture, and agency for

the study participants would give a much fuller picture of how and why they each approach succession planning in their libraries (Archer, 2007; Bourdieu & Passeron, 1977; Dutta, 2011; Hubbard, 1995).

In summary, the LIS literature offers a broad definition of succession planning and a wide range of informal leadership competency models from which academic library administrators can draw to develop potential managers in their organization. To better understand the perceptions and behaviors of library administrators regarding this topic, it was useful to step outside of LIS and rely on a theoretical framework developed by sociologists. Utilizing the concepts of social structure, culture, and agency offered deeper insights into the many interrelated factors that go into library administrators' decision-making processes regarding academic library succession planning.

CHAPTER THREE

METHODOLOGY

Research Design

This study utilized a case study/cross-case analysis design in which each of the participant-ULs were treated as a case that could provide insight into the issue of succession planning in academic libraries (Glesne, 2016; Stake, 2005). The case study/cross-case analysis design was appropriate given the minimal qualitative LIS literature surrounding this topic, and that the research questions ultimately sought to uncover how and why participants address succession planning (Merriam & Tisdell, 2016; Yin, 2009).

Sampling Strategies

This study employed a combination of convenience, purposive, and homogenous group sampling strategies. Convenience sampling was used because each of the potential participant-ULs are from a University of California (UC) campus, and I am a librarian at UC San Diego. However, these individuals have also been identified and selected purposively because of the positions they hold in their organizations, which provide them knowledge of and experience with the topic of the study (Palys, 2008; Robinson, 2014). The goal of homogenous group sampling is to “create an information-rich group that can reveal and illuminate important group patterns,” especially because all participants are very similar to each other, which helps focus the study on “the characteristics they have in common” (Patton, 2015, p. 267-268). Interviewing all 10 of the UC University Librarians allowed the succession planning issue to be framed from the unique perspective of library administrators who operate within the same public higher education system.

Participant Recruitment

During recruitment, study participants were invited to participate via email and, if needed, reminder emails were sent one and three weeks after the original invitation. Recruitment concluded when all UC University Librarians agreed to participate in the study. After the second reminder email, I intended to assume that non-response was the UL declining the invitation to participate; however, this proved unnecessary as the ULs all agreed to participate prior to the final reminder email. See Appendix A for a sample invitation-to-participate email.

It is important to note that I am a librarian at UC San Diego. Thus, I have professional connections with librarians and administrators at my own UC as well as several other UC campuses. Whenever possible in the participant recruitment process, I asked a mutual colleague to act as a go-between and send an introductory email to the University Librarian and me before I sent an invitation-to-participate email to the UL.

Data Collection Procedures

The primary means of data collection were semi-structured interviews lasting approximately 60 to 90 minutes, which took place between June and October of 2021. While there was a predetermined set of questions for the interviews (see Appendix B), these questions were open-ended and asked in a flexible way; they were used as a kind of discussion guide, and the interviews were intended to be more-or-less conversational. A secondary means of data collection was a short survey which asked the participant-ULs for basic demographic information about themselves and the librarians who work under them (see Appendix C).

Interviews were conducted and recorded via Zoom, and the recordings were transcribed using the transcription service Rev.com. In order to limit distractions and focus fully on the interviewees, I did not take notes during the interviews, but kept an electronic field journal to

record observations, “ideas, reflections...[and] notes about patterns that seem to be emerging” immediately following each interview (Glesne, 2016, p. 296).

Data Analysis Procedures

I used an inductive process to analyze the interview transcripts, my field notes, any follow-up emails between participants and me, as well as relevant documents pertaining to the UC system (Merriam & Tisdell, 2016). *A priori* codes were derived from the theoretical framework, research questions, and interview guide, but the primary focus of this process was on identifying emergent codes and extracting categories and themes from the data (Guest, MacQueen, & Namey, 2012; Elliott, 2018). Using the qualitative and mixed method analysis software, MAXQDA Analytics Pro, I first conducted a within-case thematic analysis for each participant-ULs’ interview, email(s), and field notes, and, then, a cross-case analysis to compare similarities and differences in the coded data and discover what abstractions could be built across cases (Merriam & Tisdell, 2016).

In cross-case analysis, it is important to consider that the individual account, or case, is of interest both for its uniqueness as well as its commonality (Stake, 1995). Thus, I aimed to “develop an interpretation of these data that reflects each individual’s experience and applies equally well across all of the accounts that constitute the data set” (Ayers, Kavanaugh, & Knafl, 2003, p. 871). The themes identified in the initial within-case analysis may be reflected across cases, but may manifest in different ways for different participants, which is why cross-case analysis is usually a second level of analysis in case study research (Mathison, 2005). However, by conducting this second level of analysis and developing an interpretation that reflected the experiences of many, if not all, of the participants, this study was able to make generalizations

about library succession planning across the entire UC system (Ayers, Kavanaugh, & Knafl, 2003).

Ultimately, I conducted two cycles of coding on each case. The first cycle coding methods used were a combination of descriptive coding, which aligned with the *a priori* codes, and *in vivo* coding, which centers the participants' voices and enhances understanding of their viewpoints (Saldaña, 2021). The second cycle coding method used was pattern coding, where the descriptive and *in vivo* codes were grouped into fairly broad categories and then by narrower themes to reduce the complexity of the data to a manageable and understandable level (Elliott, 2018).

Intracoder Reliability

Throughout the two coding cycles, I took several measures to ensure intracoder reliability, all of which were aimed at maintaining my consistency as a coder across time (Lacy et al., 2015; van den Hoonaard, 2008). While some qualitative researchers engage an external coder as a way to audit their coding against an established codebook, this would not have been a fruitful option in this instance, simply because there was no pre-established codebook for this study (White et al., 2012). Indeed, the *a priori* or descriptive codes for this study were fairly minimal, and the majority of the codes emerged during *in vivo* coding. Such an emergent process makes the resulting codebook very individual to the coder. Thus, steps needed to be taken to establish *intracoder* (within-coder) reliability rather than *intercoder* (between-coder) reliability, as I was the sole coder for this study (Lacy et al., 2015; Moore, et al., 2019; van den Hoonaard, 2008).

Lacy et al. (2015) maintained that the “only way to establish that the coding remains reliable is to check it at more than one point in time” (p. 806). They further noted that reliability

is less likely to deteriorate if a coder is coding regularly, which, in their experience, means coding at least every other day; however, even regular coding would require a reliability check if the coding process took more than two months, which it did for this study (Lacy et al., 2015). Moore et al. (2019) also suggested that having a coder review or re-code some or all of the data would also help establish intracoder reliability. Thus, I coded regularly for each cycle of the process, but also used the beginning and end of the second cycle to review previous coding for consistency within and across cases. The first cycle took place in November and early December of 2021 and the second cycle occurred in January of 2022, which allowed me to check my coding at more than one point in time. Using these measures, I found that my coding had remained reliable throughout the process.

CHAPTER FOUR

FINDINGS

The purpose of this chapter is to present the results of the data collection and analysis processes from this study, a study focused on advancing understanding on how succession planning is perceived and addressed by top administrators in academic libraries. The ten University Librarians (ULs) employed by the University of California (UC) were treated as cases that could provide insight into this topic. Semi-structured interviews with these ULs revealed the structural, cultural, and agentic factors that influence their ability and/or desire to engage in succession planning.

As introduced in the literature review and later confirmed through data collection and analysis, succession planning—at least as that concept is defined by the corporate sector—does not occur in University of California academic libraries. While ULs can and do develop leadership and management capacity in their librarians, they typically are not involved in the selection of their direct successors. What did become clear is that the ULs who were participants in this study had a fairly consistent understanding of what succession planning means in the academic library context, and that understanding is in line with the literature on the topic. Despite this alignment in defining succession planning, data analysis revealed as many differences as similarities between the participant-ULs and their perspectives on and approaches to library succession planning. However, all of the participant-ULs agreed that succession planning was important, which may have been a driving reason behind their willingness to participate in this study.

Below, I have provided a description of the participants, their institutions, and their libraries to help contextualize my findings. I then present the data from my interviews and

document analysis, organized into thematic sections that relate to my theoretical framework of structure, culture, and agency, while also allowing for a discussion of where these concepts intersect. For example, one point of significant intersection is that the UC system is an immense academic enterprise, which lends itself to an extremely tall organizational hierarchy and requires innumerable policies and contracts to govern. It is perhaps foreseeable, then, that these layers of bureaucracy will be a key theme throughout the findings presented in this chapter.

Participants, Their Campuses, and Their Libraries

Understanding the context in which the participants operate is essential to grasping their viewpoints on the subject of academic library succession planning. While all ten hold the same position in their respective libraries in the UC system, their professional experience, their campuses, and their libraries are all distinct. I have relied on several different indicators, such as the Carnegie Classification of Institutions of Higher Education (simply called Carnegie Classification from here forward), to categorize these institutions so they can be compared, which I hope will allow for greater awareness of their similarities and differences.

Participants

The 10 participants were given pseudonyms to protect their privacy. Demographically, the participants were divided into several even categories. Of the eight ULs who disclosed their age, half are baby boomers, and the other half are from Generation X. Half of the participants identify as men and the other half as women. Half of them graduated from and/or worked for at least one other UC campus before becoming the UL at their current campus. Half have held their current position for more than six years, the other half for six years or less. Half of them have served as a Dean, Director, or University Librarian at another academic institution prior to assuming their current position and half are serving in this role for the first time. All of the ULs

have at least 25 years of professional experience working in academia, all have earned at least one master's degree (e.g., MLS), and two of the 10 hold a doctorate degree. Each participant-UL is the top-level administrator of the library/libraries on a campus in the UC system.

Participant Confidentiality

While it is a strength of this dissertation that 100% of the population of University of California ULs is included in the study (N=10), considerable thought had to be given to how best to ensure some measure of confidentiality for the participants. With such a small population, even including basic demographic information about the participants (e.g. age, gender, race, nationality, years of professional experience, years in current position) would allow readers to easily discern their true identities. Therefore, with the exception of pronouns, information about participants has been completely decoupled from information about their personal demographics, their libraries, and their campuses. This decoupling could be considered a limitation to the study and will, therefore, be discussed in more detail in the final chapter under limitations.

For the purposes of this study, participants were randomly assigned gender-neutral pseudonyms, which are listed below, along with their pronouns:

- Avery (she/her/hers)
- Blake (she/her/hers)
- Cameron (she/her/hers)
- Jordan (she/her/hers)
- Kelsey (he/him/his)
- Lane (he/him/his)
- Parker (he/him/his)
- Quinn (he/him/his)

- Reese (she/her/hers)
- Robin (he/him/his)

Participants' Campuses

In order to provide some context about the ULs' respective campuses, it was useful to turn to the Carnegie Classification, which provides a Basic Classification about the types of degrees conferred by the campus and a Size and Setting Classification about the nature of the undergraduate population on a given campus. In terms of graduate programs, all but one of the participant-ULs are from campuses classified as R1 or R2 institutions by the Basic Carnegie Classification (n.d.-a), which means they are doctoral-granting universities with either “high research activity” for R2s or “very high research activity” for R1s (see Table 1). To be categorized as an R1 or R2 institution, the university must have awarded at least “20 research/scholarship doctoral degrees and had at least \$5 million in total research expenditures” in the prior year (Carnegie Classification, n.d.-a, para. 4). The difference between the R1 and R2 designation is the amount of funds the university spends on research and development across disciplinary areas and the number of research staff employed by the campus—R1 institutions must be well above average in one or both measures (Carnegie Classification, n.d.-a). The remaining UC institution that is classified as neither R1 nor R2—UC San Francisco—is classified as a special focus research institution because it offers exclusively graduate programs (Carnegie Classification, n.d.-a).

In terms of undergraduate programs, the Carnegie Classification groups campuses by their full-time equivalent (FTE) enrollment size and the residential status of their undergraduate student body, also called the Size & Setting Classification (see Table 1). Here, again, UC San Francisco is differentiated as a “graduate/professional only” institution because it does not have

undergraduates enrolled. Of the remaining campuses, UC Merced is listed as a medium-sized campus (3,000-9,999 degree-seeking students) and the rest as large campuses (10,000+ degree-seeking students) (Carnegie Classification, n.d.-b). In terms of residential characteristics, UCLA and UC San Diego are primarily residential universities, meaning “25-49% of degree-seeking undergraduates live on campus and at least 50% attend full time,” and the other UCs are highly residential universities, meaning “at least half of degree-seeking undergraduates live on campus and at least 80% attend full time” (Carnegie Classification, n.d.-b, para. 17-18). Table 1 summarizes data about the different UC universities.

Table 1
UC Campus Information

Campus	Date Founded or Acquired	Fall 2020 Enrollment (FTE)	Carnegie Classification Basic ^a	Carnegie Size & Setting ^b
Berkeley	1868	42,327	R1	L, PR
Davis	1905	39,074	R1	L, PR
Irvine	1965	36,303	R1	L, PR
Los Angeles	1887	44,589	R1	L, HR
Merced	2005	9,018	R2	M, PR
Riverside	1907	26,434	R1	L, PR
San Diego	1912	39,576	R1	L, HR
San Francisco	1873	3,201	Spec. Focus	G/P Only
Santa Barbara	1944	26,179	R1	L, PR
Santa Cruz	1965	19,161	R1	L, PR
Total		285,862		

Note. This table provides information on the UC campuses, including the year the campus was acquired—typically from a normal school or private research institution—or founded by the University of California (Pelfrey, 2004; Stadtman, 1970), enrollment (UC, 2020), and both Basic and Size & Setting Carnegie Classifications (n.d.-a, n.d.-b).

^aAbbreviations in the Carnegie Classification Basic column are as follows: R1 = Research 1: Doctoral Universities – Very high research activity, R2 = Research 2: Doctoral Universities – High research activity, Spec. Focus = Special Focus Research Institution.

^bAbbreviations in the Carnegie Classification Size & Setting column are as follows: L = Large, M= Medium, PR = Primarily Residential, HR= Highly Residential, G/P Only = Graduate/Professional Only.

Participants' Libraries

For the most part, academic libraries tend to be classified by the type of university (e.g, R1) they serve; however, Lund (2017) suggested another way to categorize libraries that is distinct from university classifications and considers the library's collections, expenditures, and circulation. Whether such classification becomes more widely used in LIS is yet to be determined, but the information may be useful here in demonstrating some of differences between the 10 libraries within this university system.

The UC libraries range in collection size from approximately 1.3 million to 11.5 million volumes and their circulation counts range from about 5,000 to 303,000 items lent per year (see Table 3). What Lund's (2017) library categorization does not take into account are the shared holdings that a university system like the UCs can draw from, such as the digital holdings of the UC California Digital Library (CDL) as well as the physical holdings of the UC Southern Regional Library Facility and the UC Northern Regional Library Facility. These shared print and digital collections add roughly 860,000 volumes to the UC holdings and increase the annual circulation count of items lent by over 100,000 (UC Libraries, 2020; UCOP, 2021).

As for expenditures, the UC libraries budgets range from just under \$5,000,000 to just over \$62,000,000 (see Table 3). Indeed, the most recent report from the University of California Office of the President (UCOP) lists the total library expenditure across the entire system as roughly \$292,000,000, which includes the regional library facilities and CDL (UCOP, 2021). Included in library expenditures are employee salaries, and staffing numbers can be another data point in categorizing and comparing libraries. Information about UC library employees serving under the participant-ULs is summarized in Table 2.

Table 2
UC Library Lower-Level Administrators, Managers, and Librarians

Campus	Lower-Level Administrators ^a	Middle Managers ^b	Academic Librarians ^c
Berkeley	4	31	71-80
Davis	3	15	31-40
Irvine	3	13	51-60
Los Angeles	5	35	71-80
Merced	2	8	11-20
Riverside	3	8	31-40
San Diego	3	45	51-60
San Francisco	3	6	11-20
Santa Barbara	4	10	41-50
Santa Cruz	2	7	11-20
Totals	32	178	369-450

Note. This table provides information about the numbers of lower-level administrators, managers, and academic librarians who work in UC libraries.

^aExact job titles differ between UC campuses, so the term “Lower-Level Administrators” includes those in administrator positions who report to the University Librarian, such as Associate/Assistant University Librarians (or equivalent).

^bExact job titles differ between UC campuses, so the term “Middle Managers” includes those in middle management positions, such as department heads and subheads (or equivalent). Depending on the department, middle managers may have previously served in academic librarian positions or library staff positions before moving up into management roles.

^cThe number ranges include all academic librarian positions on a given UC campus, whether the position is currently filled or in recruitment.

Aside from purely numerical means, academic libraries can also be classified by the set of library associations to which they belong. Common institutional memberships for university libraries include the American Library Association (ALA) and their academic division, called the Association of College and Research Libraries (ACRL). Depending on the programs offered on a particular campus, usually at the graduate level, a library may also hold membership in more specialized associations, such as the Medical Library Association for those campuses with a school of medicine, the American Association of Law Libraries for those with a law school, and the Business Librarians Association for those with a business school, to name a few. Given the breadth and depth of the curriculum covered at the UC campuses, it should be apparent that most

of the libraries are members in many—if not all—of the aforementioned associations, and in other associations, as well.

During data collection, however, many of the participant-ULs took note of the particular importance of their library’s membership in the Association of Research Libraries (ARL), so some detail needs to be offered here about that particular association in order to provide context for the discussion of findings (see Table 3).¹ The ARL is a nonprofit organization of “libraries and archives in major public and private universities, federal government agencies, and large public institutions in Canada and the US” (ARL, n.d., para. 1). Considering the American Library Association estimates that there are over 3,000 academic libraries in the United States alone, the ARL’s membership at just 126 is both small and selective (ALA, 2018; ARL, n.d.). Indeed, UC Santa Cruz was only recently voted in as the 126th member of ARL, and their membership took effect January 1, 2022 (Aiwuyor, 2021). In order to qualify for membership, an academic library must be able to demonstrate a) its national scope and impact, b) its institution’s achievements in research, and c) its institution’s investment in its library (ARL, 2019). Membership in ARL is by invitation only, based on high levels of achievement on these three criteria, and following a lengthy process of documentation and formal site visits. A library must be first recommended by the ARL board of directors and approved by vote of the ARL membership (ARL, 2019).

Understandably, membership in ARL is seen as both desirable and prestigious, but what it can provide a library is a “forum for the exchange of ideas and a catalyst for collective action to create, share, and sustain our global knowledge” (ARL, n.d., para. 1). In addition, the ARL

¹ It should be noted that not all UC libraries are ARL members; the youngest—UC Merced—and most specialized—UC San Francisco—campus libraries do not hold membership in this organization.

seeks to “advocate on research libraries’ behalf, convene [its] research and higher education partners, share intelligence on current issues, and develop the next generation of diverse library leaders” (ARL, n.d., para. 1). Such an organizational mission ties neatly into a conversation about succession planning, which makes it reasonable that membership in ARL became a theme during the semi-structured interviews.

Table 3
UC Libraries Information

Campus	Library Expenditures (2019-2020)	Library Holdings (Volumes)	Library Circulation	ARL Member
Berkeley	\$56,798,457	11,452,166	204,645	Yes
Davis	\$23,482,543	5,981,627	46,917	Yes
Irvine	\$24,950,691	4,352,668	29,767	Yes
Los Angeles	\$62,117,962	11,213,341	302,531	Yes
Merced	\$4,810,028	2,571,412	8,651	No
Riverside	\$13,861,331	4,895,338	27,878	Yes
San Diego	\$30,728,202	5,648,999	94,582	Yes
San Francisco	\$11,161,897 ^a	1,296,237	5,368	No
Santa Barbara	\$21,314,922	3,325,621	46,651	Yes
Santa Cruz	N/A	2,503,943	27,723	Yes
Total	\$249,226,033	53,241,352	794,713	

Table 3 provides information on the UC campus libraries, including total library expenditures (ARL Statistics, 2020; D. Barclay, personal communication, January 24, 2022; B. Yung, personal communication, January 19, 2022), the size of library holdings and their circulation counts (UC Libraries, 2020), and ARL (n.d.) membership status.

What is not covered in Table 3 is the fact that the UC San Francisco library serves at the academic technology unit for their campus, meaning library employees oversee UC San Francisco’s learning management system and curriculum management system, and provide course video hosting. Because UC San Francisco does not separate their budget between the

library and academic technology, the academic technology expenditures are included in their total budget number (C. Shaffer, personal communication, January 10, 2022).

Structure

The sheer scale of the University of California system must be noted in any discussion of its social or organizational structure. The UC system is the third largest employer in the state of California (UC, 2020). As of Fall 2020, this university system has 10 campuses, educates 226,449 undergraduate and 59,276 graduate students, and employs over 221,000 academic and non-academic appointees (UC, 2020). The UCs are governed by a Board of Regents, sanctioned by the California state constitution, which states the Regents have the “full powers of organization and government, subject only to such legislative control as may be necessary to insure the security of its funds and compliance with the terms of the endowments of the university” and that the UCs “shall be entirely independent of all political or sectarian influence and kept free therefrom in the appointment of its regents and in the administration of its affairs” (Cal. Const. art. IX, § 9).

The titular head of the Regents is the governor of California but, in practice, the Chair of the Board is the presiding officer (UC Regents, n.d.). The UC President answers to the Regents and manages systemwide programs and funding, and each campus is headed by a Chancellor, who reports to the UC President (UCOP, n.d.-a). All of the University Librarians report to an Executive Vice Chancellor on their respective campuses (UCOP, n.d.-b). Thus, the ULs may be the top administrator in their libraries, but they are also middle managers in the campus and system organizational charts, and this must be given due consideration when discussing structure in the UCs. The ULs’ top administrator/middle manager status can be seen in Figure 5.

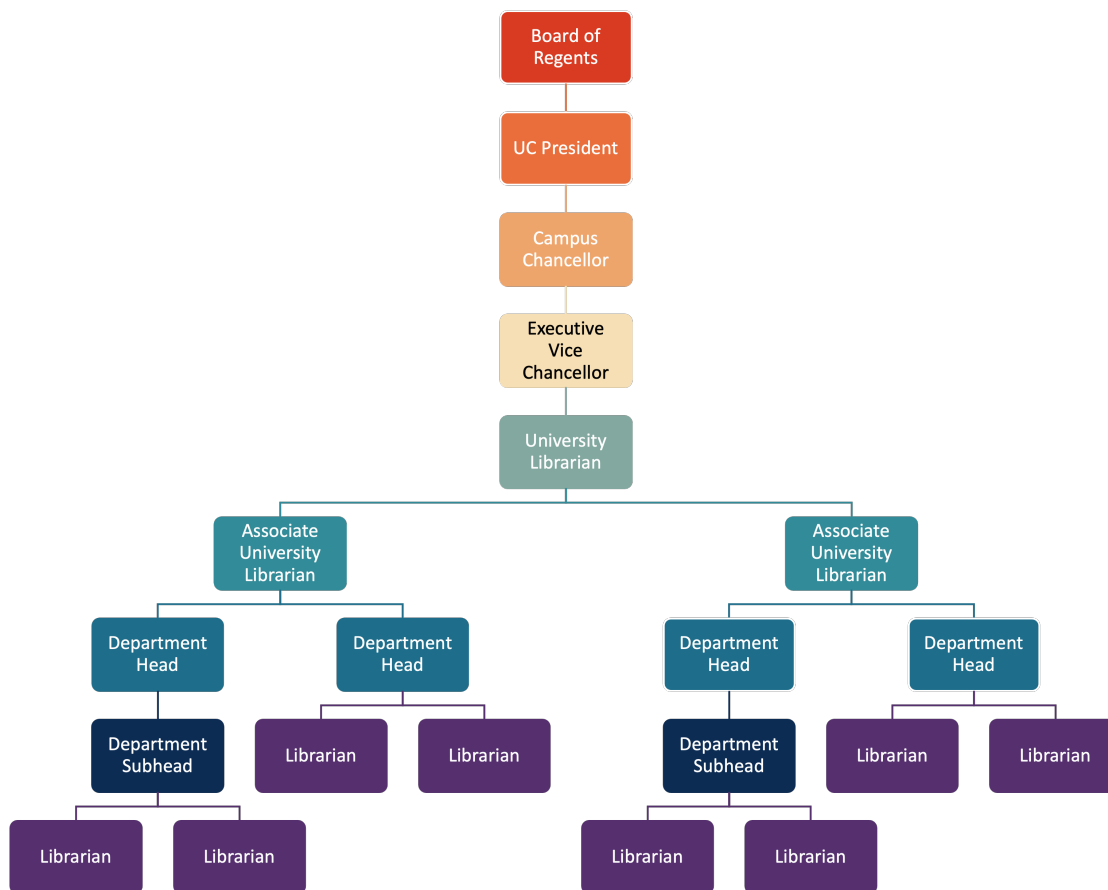


Figure 5. Example of a direct reporting line from a librarian to the UC Regents.

While the state constitution allows the UC system a certain amount of freedom from legislative control, there are laws that do apply to these public universities, including the Higher Education Employee-Employer Relations Act (HEERA). This state law regulates labor relations between the UC and Californian State University (CSU) systems, their employees, and the labor organizations that represent their employees (HEERA, 2013). Indeed, there are 15 systemwide collective bargain agreement which represent 115,172 of the UC's employees (UC, 2021b). A further 19 union contracts exist as local agreements for smaller units of employees on individual campuses (UC, 2021b).

UC librarians are represented by the University Council-American Federation of Teachers (UC-AFT), while other library staff members fall into several different bargaining units represented by unions such as the American Federation of State, County, and Municipal Employees (AFSCME), University Professional and Technical Employees (UPTE), and Teamsters (UC, 2021b). The terms of the collective bargaining agreements impact not only the structure of library organizations, but also library culture and the agency of ULs to enact certain succession planning strategies.

UC Bureaucracy

In short, there are many layers of administration between the libraries and the UC Regents, some at the campus level and some at the system level. Unfortunately, those many layers have more than once lead popular press and trade publications to describe the UC system or its campuses as a “challenging” or “bumbling” bureaucracy with a case of “administrative bloat” (Gray, 2013; Simon, 2017; Vedder, 2015; Wu, 2021). The UCs are not alone in garnering these descriptions, even within the state of California (June, 2017; Simon, 2017). Several state audit reports in the past decade have criticized the administrative spending and excessive rates of managerial hires when compared to other types of employees in the University of California and the California State University systems (Howle, 2016, 2017a, 2017b).

That said, an article in the *Chronicle of Higher Education* pointed out a number of factors which contribute to the so-called “administrative bloat” in higher education (June, 2017). Programs to improve the student experience and ensure student success have become an increasing expense on many campuses, which includes offering such services as mental health counseling, improved housing and dining facilities, academic advising, and increased developmental/remedial courses. Also, cuts in public spending for higher education have left

universities in search of other sources of funding, so programs have been created to specialize in fundraising. Compliance with state and federal regulations has likewise spawned a host of new programs—notably programs focusing on the campus response to sexual assault allegations—that seek to limit the likelihood of a university facing legal action. Finally, the article noted that “bureaucracy begets bureaucracy.” Adding layers to an organization demonstrates growth, but those layers create a gap between the top and bottom of the organization; thus, policies and procedures need to be developed to bridge that gap, and more programs need to be created to help enforce the policies and procedures (June, 2017). All of these programs are managed by administrators and, for the most part, employ professional staff rather than academic appointees, such as librarians or faculty.

During their interviews, several of the participant-ULs pointed to the many layers of hierarchy in the UCs as one of the factors that impacted their succession planning strategies. On the positive side, the organizational layers within their libraries allowed them opportunities to gradually increase responsibilities for librarians and library staff with high management potential. On the negative side, the many layers of bureaucracy can make it difficult to enact local change without running afoul of various policies and contracts. Doing so might open the university to legal action, which creates a kind of inertia that makes risk-taking a challenging prospect.

One succession planning strategy that ULs have used to give librarians and library staff the opportunity to gain experience beyond the scope of their current job assignments is to appointment them to an interim or temporary role. For library staff who possess the requisite LIS graduate degree (e.g., MLS, MLIS, MIS) and wish to become librarians, this means a temporary appointment to a librarian position that typically lasts one to two years. For librarians who might

be interested in management, this might mean an interim appointment as a department head or Associate University Librarian (AUL) which typically lasts from as little as six months to as much as two years. Of the 10 ULs, seven mentioned using this strategy, but all noted that there are structural restrictions, in the form of UC recruitment policies and union contracts, to making these interim or temporary appointments permanent. Both UC recruitment policies and union contracts will be discussed more fully in later sections.

One of the ULs in the study, who I am calling Avery, stated that “because of the bureaucracy at UC, ...there’s definitely a layer of leadership that is just very change averse. Any change creates so much turbulence and work, particularly in the HR [human resources] area.” She also said, “getting the organization to be more agile and willing to experiment with things, and knowing that that’s going to cause all kinds of headaches, but we still have to do it...is something that I struggle with at my library.” Looking beyond her institution, she noted that this struggle held “true across the UC system: how do you get people to embrace experimentation, risk, change, and failure, if they know that it’s just going to cause a world of paperwork and grievances and whatever comes with that?” Within her library, she finds herself “arguing all the time with...[her] own senior staff, ‘Yes, we are going to try this. Yes, I know it’s going to be horrible and I’ll probably get sued.’ But it’s not okay to just do nothing.” She summed up this resistance to change as “the culture that comes with a huge bureaucracy.”

Although Avery saw each of her UL colleagues struggling against systemwide inertia, Parker stated that he had “not found any UC policies particularly restrictive, as much as, how the local campus does or doesn’t interpret those policies.” He continued on to say that the “reality is, the different senior-most leaders [e.g., chancellor, vice chancellor] can create a very different

experience on the campuses” in terms of how strictly they interpret policies and contracts, and how generous they are with delegating authority and decision-making to ULs and/or deans.

One area this sort of delegation of decision-making authority impacts, according to Parker, is the ability to pay honoraria to bring in outside speakers on leadership or management topics. Thus, instead of sending one librarian out for management training, this strategy brings the training to the library so that many more people are afforded a professional development opportunity. Parker noted, “in terms of honoraria, there are things that I can approve that, at other campuses, people may not be able to approve.” He then claimed, “I’ve not run into situations where I needed authority to do something where it wasn’t already delegated or where I couldn’t get it delegated [from the chancellor]...not all deans in the system are given the same level of authority.” However, Parker also stated that, “on the flip side, we have one of the most restrictive comptrollers in the system,” and so he feels he has to “jump through more hoops for some things, even though...[he has] the authorization to approve it, to get the actual paperwork through the system can sometimes take more time and energy than at other campuses.” He concluded that “those are some of the things that might impact the types of decisions that people [i.e., administrators] make” about which leadership development opportunities to invest in.

Parker’s comments indicate organizational hierarchy can create both opportunities and barriers for library succession planning. Middle management layers within a library can offer a UL the opportunity to grow the leadership and management skills of interested and promising librarians by moving them up through the hierarchy over time, albeit often in interim positions. However, the many layers of hierarchy outside the library can curtail some of the development strategies a UL might wish to employ within their library. In addition to the hierarchy are the policies and practices that are in place at both the system and campus level. The interpretation of

these policies can vary between UC campuses, making for widely different working environments.

UC Recruitment Policies

Another structural factor that can affect library succession planning are the UC-wide hiring policies that require competitive recruitment for all management positions, except in cases where a waiver of recruitment might apply (UCOP, 2020). The systemwide Personnel Policies for Staff Members (PPSM) defines competitive recruitment as the “activities related to seeking a broad and diverse pool of qualified candidates to fill vacant positions” (UCOP, 2020, p. 2). Document analysis of the PPSM and related policies showed several areas that might impact the agency of ULs in growing managerial talent in their libraries.

The PPSM does allow for narrowing the scope of a recruitment; for example, a UC campus “may limit competitive recruitment for a career appointment to internal candidates, so long as this internal recruitment is consistent with equal employment and affirmative action objectives” (UCOP, 2020, p. 5). An internal candidate, however, is defined more broadly in the UCs than one might first expect. An internal candidate is a “candidate who is currently employed at the University of California in any appointment type except student appointment titles” (UCOP, 2020, p. 2). Hence, a librarian from UCLA applying for a department head position at UC Davis could, in many circumstances, be considered an internal candidate.

In some instances, recruitments can also be limited to a single campus or department. Indeed, internal recruitments are considered a “type of competitive recruitment” for which “only internal candidates are eligible to apply for the vacant position. Internal recruitment can be limited to the UC system as a whole, to a particular UC location, or to a particular organizational unit in accordance with local procedures” (UCOP, 2020, p. 2). Scoping the recruitment as

narrowly as possible is a strategy that the participant-ULs have used when they have a specific librarian in mind for a position. As Blake pointed out, it is “not easy, but it is possible” to limit searches. In her mind, this is a more honest approach than going through with an open search when she knows “that we just want to promote the internal person,” and an open search would, therefore, be “unfair to the other candidates.” In those cases, she tries to keep the search “internal, wherever possible... [She] can sometimes limit it to campus.” She then said, “I try to do that...to signal that we’re preferencing an internal candidate. So, I hate that aspect of it, but we do...that in order to give people opportunities” to move up in the organization.

Another possibility is to obtain a waiver of recruitment, though the UCs only allow these under special circumstances. According to the PPSM, such circumstances might apply when:

- Previous recruitment attempts did not result in identifying a qualified candidate pool, and/or recruitment difficulties in attracting candidates with the required skills, knowledge and abilities unique to the position have been documented.
- Unanticipated business requirements warrant filling the position on an immediate basis and the time needed to conduct a search would have a negative impact on meeting critical operational needs of the department or would violate a formal contractual obligation of the University.
- There are special appointment conditions, such as an organizational entity or program moving to the location along with specified current employees.
- The delay resulting from conducting a competitive recruitment would endanger health and safety. (UCOP, 2020, p. 7)

Thus, wanting to follow an established succession plan is not a valid reason to waive an open, competitive recruitment in the UCs. Indeed, Quinn noted that recruitment waivers are

becoming progressively difficult to get approved for the purposes of internal promotion, due to the growing emphasis on diversity, equity, and inclusion (often abbreviated as DEI or EDI) in higher education. He said that “it’s become increasingly the case that unless you are oversubscribed on what is otherwise...an underrepresented group, unless that group happens to be overrepresented in your job classification, then you can’t do a waiver of recruitment.” He went on to elaborate that it was, therefore, necessary to conduct an open search “because we’re trying to increase representation. And I’m not saying that’s wrong, but it is changing the way we hire, and it’s making it more the case that we can’t [succession] plan and advance people internally.”

Reading through the PPSM makes it clear why recruitment waivers are, indeed, a rare occurrence. Throughout this policy, there are several statements relating to the importance of a diverse workforce in the University of California, and the document points out that the ultimate goal of recruitment is to generate a diverse pool of qualified candidates for each open position (UCOP, 2020). However worthy the goal of this systemwide policy, it does constrain the customary purpose of succession planning—which is to grow management talent within an organization that can move up the ranks of that same organization.

Of course, the definition of succession planning is not quite that narrow in academic libraries, but the policies and rationales articulated in the PPSM point to one of the reasons why ULs approach succession planning somewhat differently than the literature on succession planning and, also, corporate practice endorses: Namely, that there are structural—along with other—barriers in place that prevent utilizing traditional (i.e., corporate) succession planning practices. In the case of the UC libraries, the recruitment policy is just one of those barriers. When Lane summed this matter up, he said, “What hinders succession planning in academic

libraries? I think we touched on [the fact] that the academic enterprise is set up in a way that really hinders the kinds of succession planning that, say, businesses do.”

Retirement Benefits

Another structural theme that came to light during the participant interviews was that of the retirement pension program offered by the UC system, which encourages employees to remain in the system for the remainder of their careers (UC, n.d.). The benefit of this program is that it rewards employee retention and lowers employee turnover. The drawback of low turnover is that, if there are no librarians interested in stepping into management and/or administration roles employed in the library, then low turnover makes succession planning a non-starter.

Prior to July 1, 2016, UC employees were automatically enrolled in the pension program; however, some changes have occurred with this program due to the passage of a state assembly bill, the Public Employees’ Pension Reform Act (PEPRA). PEPRA changed the way retirement and health benefits are applied and set compensation maximums for employees (A.B. 340, PEPRA, 2011). In short, those whose employment started before PEPRA took effect have better health and retirement benefits than those who started after the passage of PEPRA. In 2016, the UCs began offering employees two retirement options: joining the pension program (i.e., Pension Choice) or having retirement funds deposited in a 401(k) account, an option called Savings Choice (UC, n.d.). A new employee is encouraged to select the traditional Pension Choice if “you expect to work for UC for most of your career” and to choose Savings Choice (i.e., the 401(k) option) if “you want a portable retirement benefit you can roll over into an IRA or another employer’s retirement plan if you leave UC” (UC, n.d., para. 19). New UC employees have about three months from their start date to decide between the two retirement options, and

“employees who do not make a choice within the 90-day period will be automatically and irrevocably enrolled in Pension Choice” (UC, n.d., para. 18).

It should be noted that, while CSU and California Community College (CCC) employees are in a different retirement pension program—California Public Employees’ Retirement System (CalPERS)—there is reciprocity between the UC program and CalPERS, so movement between California’s public college and university systems is possible without a loss in retirement rights and benefits (UC, n.d.). Consequently, PEPRAs can equally impact the pensions of UC, CSU, and CCC employees (A.B. 340, PEPRAs, 2011).

Blake summarized how pension policies can impact succession planning and upward mobility in the UC libraries: “It’s much more solidified and static here in the UC libraries, because people stay in their AUL or department head position, typically until they retire, unless they get promoted within.” She did note that “there is some movement within UCs, but because of the pension system, it creates this blockage” where librarians rarely leave for better opportunities outside of the UCs. She went on to say that “I think a lot of it is the union plus the lucrative—not so much anymore—but previously lucrative pension system in UC. It keeps people stuck.”

It remains to be seen how and if PEPRAs, plus the new ability to opt out of the pension plan, will impact the retention rate amongst UC librarians. What is clear from the information UCs provide about the pension system is that there is an expectation of longevity for UC employees. Such longevity would allow for growing a librarian’s leadership capacity over time, but it could also lead to stagnation in the librarian ranks, with many librarians wanting management opportunities, but few opportunities opening because library leaders stay in their positions until they retire. While the retirement benefits offered by the university system are

essentially structural in nature, the participant-ULs also noticed that the lower level of employee turnover has some impact on the culture of the UC libraries, which will be discussed in the later section on culture.

Employee Classifications, Collective Bargaining Agreements, and State Law

As mentioned above, the terms of collective bargaining agreements can also have an impact on succession planning in academic libraries. While UC managers and administrators have the right to be unionized, ULs, AULs, department heads, and department subheads (or those with equivalent titles) are not unionized; however, librarians and library staff are members of several different unions, all with distinct employee classifications and disparate regulations on how, when, and to what extent an employee's job duties can change (e.g., by taking on management duties). This is also where state law comes into play, in that the Higher Education Employer-Employee Relations Act (HEERA) defines what a "supervisory employee" is, and the collective bargaining agreements refer to this law when setting parameters on which employees are included or excluded from the union (UC, 2021b). For example, in the librarian contract, it states that the University of California "recognizes the UC-AFT as the exclusive bargaining agent for matters in the scope of representation for all librarians...excluding employees designated as managerial, supervisory, and confidential...as defined by the Higher Education Employer-Employee Relations Act" (UC, 2019, p. 3-4).

Hence, if a library employee takes on job duties that would reclassify them as a HEERA-defined supervisory employee, they would be removed from their collective bargaining unit. Most of the participant-ULs interviewed for this study stated that a promotion that would remove someone from their collective bargaining unit is not something the UC campuses would approve on anything other than a temporary or interim basis. For a permanent position, a competitive

recruitment process would be required by UC policy, unless a waiver could be obtained. In fact, union contracts and how they classify employees was one of the most common structural hinderances to succession planning that the ULs mentioned in their interviews.

Employee Classification

Participant-ULs who had been managers or administrators in libraries outside of the UCs often compared the UC situation with the relative ease of engaging in succession planning in their previous institutions. To illustrate this issue, several participant-ULs pointed to previous experiences working in other public universities that do not have a unionized workforce, while others framed the comparison in terms of public and private institutions, but a bit of research on the specific private institutions mentioned revealed that these campuses are also non-unionized. Overall, the discussions trended towards private and/or non-unionized universities as being environments more conducive to implementing succession planning strategies. Many of the comments had to do with the flexibility of changing employees' job duties to include management responsibilities without having to contend with inhibiting policies or contracts.

Employee Classification in Non-Unionized Private Institutions. One of the participants who had worked for private institutions that were not unionized, Parker, stated that “in an academic setting, I’ve worked for public universities, I’ve worked for private universities... Candidly, the private universities that I’ve worked for have done a much better job at succession planning than public universities.” As an example from his previous institution, he said he’d supervised,

a processing specialist who eventually got his MLS [Master of Library Science] and then became a librarian himself, which is a lot easier to do at [that university]... So, we could

just promote people [from one employee classification to another] once they'd proven their ability.

He continued,

It is harder, especially in public universities, to do succession planning, per se. It's really kind of a larger strategy, not a specific, "Okay, these two people will be groomed and one of them will be the new UL." That's not going to happen.

Employee Classification in Non-Unionized Public Institutions. One of the participants who had worked for public institutions that were not unionized, Blake, said that at her previous library "every department had an assistant or associate department head...that was a librarian, that would step in for the department head, as needed, kind of like an...[AUL] would step in for the UL." This assistant department head, "had significant management responsibilities within the department, so would have other librarians and staff reporting to them." Blake went on to point out that because this institution "was not a unionized environment, you could do anything like that" and elaborated that "you could promote any librarian to an assistant department or associate department head. You could give them any number of reports that you wanted to give them to develop them. There were no restrictions on that." However, in the UCs, Blake noted, "there's enormous restrictions on that. So, when I came, I wanted to start giving librarians management responsibilities in their departments and make them department heads as a succession planning mechanism, but also as an...organizational resiliency strategy." Unfortunately, she "couldn't do any of that, because...they had to be removed from the union...and you had to advertise" any new management position that would require an internal candidate to be removed from the unit in a competitive search.

Employee Classification in UC Libraries. The restrictions on what duties can be assigned to someone in a particular employee classification extend beyond librarians. These restrictions are important because there can be entire departments in libraries where there are no librarians (e.g., IT, HR, security), so building management capacity within staff ranks is also crucial to a successful library. So, the fact that *all* the union contracts mentioned above exclude HEERA-defined supervisory employees means any management duties assigned to staff will trigger a reclassification out of the union, which is, again, not allowed without competitive recruitment. Robin pointed out that librarians have a certain amount of professional development funding allocated each year which they can choose to spend on leadership training, while staff “can do work-centered professional development,” but there is much less flexibility in how those funds are spent, which he felt “stifles the leadership training opportunities” for library staff.

Given that many of the comments from participant-ULs had to do with the flexibility of changing employees’ job duties to include management responsibilities without having to contend with inhibiting policies or contracts, one can assume that both the public—and, therefore, HEERA-regulated—nature of the UCs and the highly unionized nature of its workforce have an impact on the participant-ULs’ agency regarding succession planning. Indeed, Blake reinforced the idea of unions and the restrictions they place on employee assignments as hindering organizational development and succession planning by remarking that this situation is not just an issue in California. She noted that “other ARLs [throughout North America]...have these structures, and I know it’s very severe in Canada. That’s one reason they haven’t been able to transform, because they have even more strict categories of unionized workers and so on.” To her mind, “that’s a structural constraint on transformation” and it “absolutely affects succession planning.”

Collective Bargaining Agreements and State Law

While the typical aim of contracts, policies, regulations, and laws is to provide clear and precise information about the topics they pertain to, there are often areas of ambiguity and actual loopholes that can be capitalized on for the benefit of certain people or groups. In the case of California state law, namely the Higher Education Employer-Employee Relations Act (HEERA), the ambiguity centers on whether librarians can supervise other librarians *and* remain in their collective bargaining unit. Without the ability to supervise, librarians would have little opportunity to gain the necessary experience to qualify for a management position, thus negating attempts at succession planning in UC libraries. Hence, whether librarians can supervise each other and gain crucial management experience comes down to individual administrators’—in this case, the ULs—interpretation of ambiguous language in HEERA.

Defining Supervisors in State Law. As Parker pointed out, the way that administrators interpret policies and regulations can have a significant impact on the working environment for each UC campus. The same can be said for differing interpretations of the HEERA and who qualifies as a supervisory employee. To understand this, it is necessary to examine how HEERA defines this term.

3580.3. Supervisory employee defined

“Supervisory employee” means any individual, regardless of the job description or title, having authority, in the interest of the employer to hire, transfer, suspend, lay off, recall, promote, discharge, assign, reward, or discipline other employees, or responsibility to direct them, or to adjust their grievances, or effectively to recommend such action, if, in connection with the foregoing, the exercise of such authority is not of a merely routine or clerical nature, but requires the use of independent judgment. With respect to faculty or

academic employees, any department chair, head of a similar academic unit or program, or other employee who performs the foregoing duties primarily in the interest of and on behalf of the members of the academic department, unit or program, shall not be deemed a supervisory employee solely because of such duties; provided, that with respect to the University of California and Hastings College of the Law, there shall be a rebuttable presumption that such an individual appointed by the employer to an indefinite term shall be deemed to be a supervisor. Employees whose duties are substantially similar to those of their subordinates shall not be considered to be supervisory employees. (HEERA, 2013, para. 1)

Several clauses within this definition are open to interpretation, and this is the difference between whether UC librarians—as academic employees—can supervise other librarians without being considered supervisory employees. Those librarians who do have supervisory duties over other librarians are usually called *work leads* rather than *supervisory employees*. Figure 6 shows the demarcation between librarian work leads, who are represented by a union, and library managers and administrators, who are unrepresented. This figure also demonstrates that in UC libraries that employ both work leads and department subheads, these two positions often occupy the same layer in the organizational hierarchy. The main difference being that department subheads are HEERA-defined supervisory employees and librarian work leads are not.

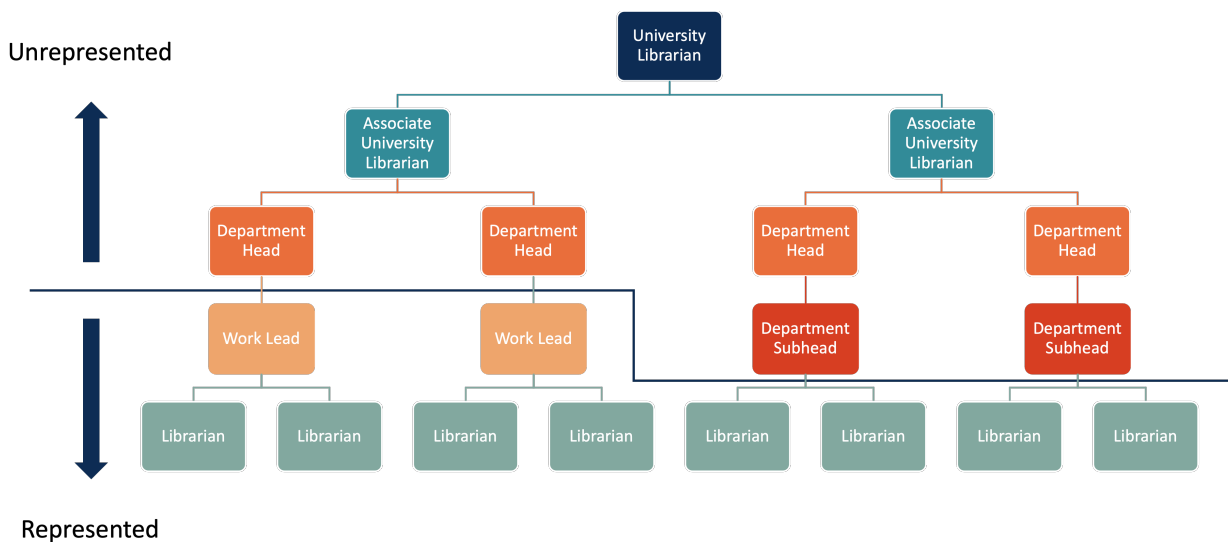


Figure 6. Example of a UC library hierarchy showing the delineation between union-represented librarians and unrepresented managers/administrators.

In comparing the duties of HEERA-defined supervisory employees (i.e., department subheads and above in the hierarchy) with those of work leads, work leads do not have the authority “to hire, transfer, suspend, lay off, recall, promote, discharge, assign, reward, or discipline other employees,” and they often direct the work of librarians who have similar primary job assignments (e.g., a senior reference librarian supervising other reference librarians) (HEERA, 2013, para. 1). Therefore, ULs who interpret HEERA to mean that librarians can supervise each other would refer to the last line of the definition as the final authority on the matter: “Employees whose duties are substantially similar to those of their subordinates shall not be considered to be supervisory employees” (HEERA, 2013, para. 1). However, unlike faculty department chair positions, which often rotate after several years, librarian work leads are usually considered permanent appointments. Thus, those ULs who interpret HEERA to mean that librarians cannot supervise each other make note of the specific clause that deals with the

UCs and says that “an individual appointed by the employer to an indefinite term shall be deemed to be a supervisor” (HEERA, 2013, para. 1).

Interpreting State Law. The gray area around the subject of librarian work leads means that a library may shift back and forth on what role a librarian can or cannot play in supervision, particularly when a new UL is hired into the institution and then decides how they will interpret the supervisory employee clause of HEERA. One UL, Parker, interprets HEERA to mean that librarians *can* supervise other librarians, which had not been the stance of his predecessor and, thus, was not a practice in his library when he began his tenure. He spoke about discussions he had with his librarians to convince them that his interpretation was correct. He said, “when I got here, there was a belief that librarians couldn’t manage other librarians unless they were initially hired as a manager.” During these conversations, Parker asked his librarians, “‘Where do you see that in the contract? Is that in the contract?’...And some of the people who were most adamantly opposed finally realized, ‘Oh, yeah. No, it isn’t in the contract. We can do this.’” In contrast, at the UC library where I work, the interpretation has recently begun to trend in the opposite direction, where some librarian work leads have lost their supervisory duties in favor of department subheads.

Even those ULs who interpret HEERA as allowing librarians to supervise each other under certain circumstances disagree on how many librarians a work lead can supervise before they cross the threshold into supervisory employee. For example, Blake noted that “as soon as they [librarians] had more than one and a half people FTE reporting from them, they had to be removed from the union,” and Avery said that department heads “have to supervise at least two people.” At first glance, this might indicate a cut-off between work lead and department head/subhead at two direct reports, but that number is not uniform across the system. In my

library, the maximum number of work lead supervisees is set at three. During document analysis, I was unable to find a specific number listed in either HEERA or the librarian collective bargaining agreement for a maximum number of direct reports for work leads or a minimum for department heads/subheads. So, this seems to be another area that is open to interpretation by library administrators, and here, again, there appears to be variation in how each UC campus implements legal and contractual requirements.

Defining Middle Managers. When asked about the number of middle managers in their libraries, none of the ULs counted work leads. Indeed, when Robin considered the question, he answered, “I think I would lean towards counting work leads as *not* middle management. But it’s a fuzzy boundary.” This demonstrates a clear alignment with HEERA’s designation of supervisory employees as the only managers in the library, while also acknowledging the ambiguity of a work lead’s position in the organizational hierarchy. However, when considering the impact of the work lead role on succession planning, one can see that this role is one of the few ways—outside of interim management positions—for librarians to gain supervisory experience without having to leave the union. While the UCs have templates in place for offering management positions that include faculty retreat rights to an academic department if the manager chooses to step down or the university chooses to terminate the appointment, no such template clause exists for library managers to retreat to librarian status (UC, 2021a). Without this as a standard practice, library managers/administrators would need to apply for a librarian position in a competitive search—per UC policy—if they wanted to step down from their management position while remaining in their library (UCOP, 2020). Thus, the lack of retreat rights can make the jump from academic appointment to management appointment higher risk for librarians than for faculty in the UC system.

Concluding Comments on Structure

Taken together, it becomes apparent that structure has a multifaceted and significant impact on succession planning in UC libraries. With the change-averse bureaucracy inherent in an extremely tall organizational hierarchy, stringent recruitment policies, retirement benefits that encourage career-long retention, union contracts tied to state law, and disparate interpretations of these policies and laws across UC campuses, there are numerous—and often inflexible—structures in place that curtail the strategies that ULs could use to increase management and leadership capacity in their libraries. In discussing factors that support or hinder succession planning, Blake stated, “I would say the inhibitors are mostly structural. All the aspects that we talked about...[regarding] the stasis of the University of California, those are things that are never going to change.” She concluded that “every person in...[her] position ever will be constrained by that [structure]. That’s just the way it is.”

Culture

In contrast to Blake’s comments about structure being the main hindrance to succession planning, other participant-ULs focused on culture when discussing factors that inhibit successful succession planning. Parker, for example, noted that the “UC system has an incredibly baroque culture, and you definitely need to learn it to be able to navigate it.” As with structure, culture has many aspects and competing priorities, and the participant-ULs discussed a variety of cultural phenomena within academia, the LIS field, the UC system, their campuses, and their libraries that impact succession planning and leadership development. With the numerous realms of culture discussed by participants, it is unsurprising that the findings regarding culture show areas of significant overlap between structure and culture and, indeed, where culture and agency impact each other.

People are crucial components of culture, and the demographic makeup of academic librarians was a significant theme in the interview findings. Librarians are overwhelmingly white and female while library administrators are disproportionately white and male, so the topic of representation was evident in the interview data. Demographics also came up in relation to increasing diversity, equity, and inclusion (i.e., DEI or EDI) within library hiring practices, including for administrator positions, and that means recruiting a more diverse population of librarians into the field and then preparing them for future management positions. As mentioned above, baby boomers are also disproportionately represented in academic libraries, but retirements have begun to reduce the median age in the field. Another, perhaps California-specific, impact of demographics in the UCs is the high cost of living in the state that means many UC libraries hire only mid-career librarians to afford them a livable wage. That practice may make the demographics of the UCs slightly older than the professional median.

Tied to the shifting demographics of academic librarianship is the ability of ULs to affect cultural change within their libraries, which includes increasing leadership competencies in their librarians and library staff. The participant-ULs noted that, in addition to using their agency, time and turnover in personnel could work toward changing the culture in their libraries. Even then, there are larger cultural expectations in the LIS profession of what competencies and attributes a library leader should have that may not be within a UL's ability to impact. Indeed, given that most of the participant-ULs were, themselves, acculturated into the LIS field, many of their expectations of future library administration were influenced by this professional culture. That said, a number of the participants also noted how they have begun to deliberately and mindfully push back against these LIS cultural expectations in order to try to decrease unconscious bias and increase diversity in libraries.

As mentioned in the literature review, there also is a related area where culture and agency interact regarding succession planning is in academia as a whole and, therefore, in academic libraries as a subset of academia: the reluctance to hire internal candidates. The ULs I interviewed have some agency to challenge this norm, but even in the area of hiring, their agency has limits.

Demographics of Librarianship

Aside from succession planning articles, there are many sources of information regarding the lack of diversity in librarianships, up to and including those librarians in top-level management positions. For example, the American Library Association (ALA) has used data from the U.S. Census and American Community Survey to “develop estimates for the distribution of gender, race, age and disability status within the library profession” (ALA, 2012, para. 1). In ALA’s “Diversity Counts” report, the ALA reported that the vast majority of credentialed academic librarians were female, white, able-bodied, and over 45-years-old (ALA, 2012). In fact, the U.S. Bureau of Labor Statistics (BLS) listed the median age for librarians at that time as 52 years old (BLS, 2012). However, while 80% of academic librarians are women, only 57% of academic library Deans, Directors, and ULs are women (ALA, 2012, n.d.). Data also indicates that male academic library directors are, on average, paid more than their female counterparts for the same work (ALA, n.d.). To put those numbers into the context of this study, in the UCs, only 50% of the ULs are women but, on average, they are paid slightly more than the men (UC, n.d.-c).

While white women remain overrepresented in the profession, the retirement of baby boomer librarians has brought the median age of the profession down somewhat, from 52 years old in 2011 to 49.9 years old in 2021 (BLS, 2012, 2022). During interviews, the participant-ULs

were mindful of the fact that major steps needed to be taken to move the profession—and its leadership—in a more diverse direction. Additionally, it is worth noting that one study found that senior leaders in California public higher education institutions (i.e., UCs, CSUs, and CCCs) were 60% white while the student population is only 26.7% white, demonstrating that overrepresentation of white people is not an issue restricted to the UC libraries (i.e., because of the white monoculture in LIS), but impacts all levels of leadership through the state’s higher education systems (Campaign for College Opportunity, 2018).

Demographic Stasis and Cultural Change

An area where structure and culture overlap involves the retirement benefits offered by the UCs, where the pension program encouraged career-long retention of librarians. While retention is often framed as a positive, the participant-ULs noted that the way the pension system discouraged employees from leaving the UCs meant that sometimes a person did not move on to a different library, even if there would have been a better opportunity for them to move into management.

Demographic Stasis in UC Libraries. As Avery pointed out, “Once you’re in the UC system, [it’s] very unusual to leave,” and Blake’s thoughts followed along a similar line when she said, a “lot of the librarians here—and this is true across the UCs, and it’s actually a big problem—they haven’t worked anywhere else, or not for a very long time” which can limit their experience and perspective regarding the variety of ways that academic libraries can be effectively managed.

In the same vein, Robin stated that, “one kind of cultural or environmental factor, is just the long-term nature of a lot of our employees.” He went on to say that “career mobility options don’t often open up, and so if your idea for succession planning is you’re teeing up somebody to

take on that [UL] role, I think that person could be waiting for 20 years.” He concluded that this is “not an effective career path for that person, not the best investment of your resources.”

Kelsey’s sentiments were similar when he pointed out that when he engages in succession planning, “in many ways, that’s not succession planning for...[his] library because...[he’s] probably not going anywhere for 15 years.” Thus, there appears to be a conflict between the structure of the pension plan, which encourages retention, and the goal of library succession planning, which is to build leadership capacity across the profession, but may require a person to leave the UC system in order to apply for an open management or administration position.

With such long-term employees, it can take a great deal of time and effort to create cultural change within a UC library. Quinn made the connection between cultural change and personnel change during his interview:

Well, all culture changes slowly, that’s not special to libraries. I think it may be a bit slower in libraries, to some extent. In part because, until about, say, 30 years ago, libraries didn’t change very rapidly before the pre-digital revolution. And, so, people selected into the profession and developed careers that were in fairly stable institutions, where change was not the main currency. And now change is the leading feature of our environment, and success really requires change management...

Somebody said that culture changes at the rate of generations. Well, one way to change it faster is with turnover, basically you institute a new generation by bringing in new people. And that’s another reason that I think it’s maybe even more true in libraries than other parts of academia. Perhaps that bringing in “fresh blood,” so to speak, and new ideas can actually be important because it helps the culture adapt in a world that’s really

changing at an extraordinary rate and at a rate that's very difficult for humans to deal with. And, so, one way we do that is by changing the humans.

Blake captured what many participant-ULs said about the pension plan when she noted the plan “keeps people stuck,” and keeping people stuck means that cultural change in the UCs libraries is even slower than in the rest of the LIS profession. Add the pension system to the unionized workforce, and it is much more difficult to follow Quinn's advice to simply “change the humans” to change the organizational culture.

Initiating Cultural Change in UC Libraries. Without the substantial turnover in personnel that Quinn suggested, it is unclear exactly how much agency a UL has in crafting cultural change in their library. Indeed, Avery spoke of her experience with how difficult it is and how long it takes to shift the culture in a UC library

When I started, we did a new strategic plan, because there wasn't one. And part of that was getting the staff to think about their career. And I mean all the staff—clerical to senior librarians. So, the consultant I was working with took them through this exercise, where they think about their skill sets, and what other kinds of work that could be applied to, in the library or outside the library. And the reaction was horrible. They assumed that this meant they were all going to lose their jobs. They fought it every step of the way, and it was a fail because I wanted people to feel empowered, to take charge of their own life, but they just saw it as a threat.

So, then, fast forward nine years and we're doing another strategic planning thing now. The culture has shifted to the point where people really embrace that now. They're not afraid they're going to get fired. They're not scared to have a different job, because they've been through enough change. And, yeah, I think COVID even helped with this,

right? They've been through some pretty traumatic transitions and the world didn't end. So, now, I've got a staff who are much more empowered, and when we do reorgs now, they're usually part of the driver, right? Because they've got ideas about how we could do things better. So, culture change is possible at UC, it just takes a really long time.

Even with multiple structures in place that resist change and encourage stagnation, Robin was more hopeful about the short-term ability to steer the culture of his library. He said, "I think that University Librarians do have a lot of control over the principles we speak to our organization, and we get to make a lot of decisions...that help shape the culture." He went on to say that "even if what we're doing is like a little nudge" in order to "bring people along with you," it is possible to influence the culture in the library with day-to-day decisions.

Demographics and Diversity

With a UC environment structured to resist change and encourage stasis, and a professional culture dominated by white people, it should not come as a surprise that UC libraries—and LIS, in general—have a problem recruiting and retaining librarians who are Black, Indigenous, and people of color (BIPOC), let alone involving them in succession plans that might qualify them to become top-level library administrators. Indeed, Kumaran's (2015) extensive study of the North American academic library literature found that BIPOC librarians are neither a) actively recruited or retained as library employees nor b) included in succession planning procedures. Likewise, another recent study pointed out that BIPOC library employees are more likely to be in staff positions rather than librarian positions, and thus even less likely to be considered for leadership roles or included in succession planning processes (Sanchez-Rodriguez, 2021).

During their interviews, the participant-ULs discussed these issues in the profession openly as well as their desire to resist the cultural norms that might perpetuate identifying future library leaders that look like current library leadership. Kelsey noted, “At the end of the day, most library directors are still old white guys like me, and that’s got to change.” He felt that the greatest cultural challenge to confront is that “we keep reinforcing and promoting and giving opportunities to the people who already have privilege. And that’s endemic to American society or modern society, in general. But it’s certainly true within libraries.” He continued, “It’s amazing, we’re a female-dominated profession and most managers are men.” These cultural norms are, to his mind, one of the biggest problems that libraries face because, in his words, “It goes even to the level of our recruitment and retention of diverse populations.” He noted Chris Bourg’s work on this topic (e.g., Bourg’s 2014 essay on “The Unbearable Whiteness of Librarianship”) as particularly meaningful to him and explained that Chris has spoken about how “we hire people of color to come into our libraries and be librarians and then we try to teach them how to be white. We lose a lot of them.”

This also calls back to the above section where Quinn discussed the DEI initiatives that made getting a waiver of recruitment difficult and limited the amount of internal promotion and traditional succession planning a UC library could do. He said, “If we’re talking about succession planning in that sense where we’re building up a corps of people that we can move into upper-level jobs, it makes it harder and harder to do that.” He added that “it sort of forces us more and more to the outside [for hiring], which again, may be a good thing” in terms of increasing representation of BIPOC librarians.

Cameron added that she thinks “a lot of times there’s attention paid more towards recruitment and not enough on the retention.” By having positions in the library that focus on

internal training for DEI and cultural competence, Cameron noted, “We’re hoping [to] put some emphasis on retention, growth, and [an] environment that is inclusive and gives people a sense of belonging while they’re working there and will want to continue.”

The idea of diversifying library leadership also came up in several other areas of the semi-structured interviews, such as when the participant-ULs discussed the purpose of academic library succession planning and how the participant-ULs identify librarians with high potential for management. For Jordan and Reese, the focus was on succession planning; for Avery, identifying people with high potential for management was the concern. Jordan said, “I think it’s a role of the University Librarian to think about it [succession planning] in terms of diversity, equity, and inclusion.” Reese, during her interview, in essence, extended that thought, remarking that not only should the UL be considering succession planning in this way, but also that such planning should “ensure that the next generation” of managers and administrators are prepared “to address EDI [i.e., equity, diversity, and inclusion] issues” and “increase diversity at the senior leadership level.”

When Avery was asked about how she would identify a librarian with management potential, she said, “That’s a very interesting question, the potential. I’m learning to be very careful about that, because as we’re learning more about inherent bias, I’m worried that sometimes we think we know potential when we see it, but do we?” She elaborated, “My definition of potential requires certain things, but that isn’t necessarily the only path, right? So, I’m learning to be a lot less confident about this particular question” because it would perpetuate the monoculture in library leadership if we only foster individuals who show potential in a way that those embedded in LIS culture expect. The main marker Avery would look for, then, are

“people who express some interest in moving up, because the people who know they want to do this kind of work, there are things you can do to help them mature.”

Finally, when the discussion veered into LIS scholarship, Lane noted that there have “been some studies done about leadership diversity,” but “that’s another area in librarianship...[he] think[s] that would be a great topic to further study. The literature is very limited.” How this topic intersects with and reveals gaps in LIS literature will be covered in the following analysis chapter.

Retirements, New Hires, and Age Distribution

As stated earlier, the LIS profession has had an overrepresentation of baby boomers for the past forty years, but those librarians and library administrators have begun to retire in the last decade. Obviously, this has an impact on the age distribution within the field, which has implications for the culture. As Quinn indicated, one way to effect cultural change is to change the people employed in the library. While structural factors increase retention rates among UC employees, retention efforts end at retirement, and massive waves of retirements create a ripple effect through the entire hierarchy. This ripple effect has also dropped the median age in the profession; however, another issue germane to California is the high cost of living in many cities where UC campuses are located. Several participant-ULs revealed that they rarely, if ever, hire early-career professionals because the Assistant Librarian pay scale is too low for Assistant Librarians to afford to live comfortably in their respective areas (UCOP, n.d.-c). Thus, most of the new hires are mid-career Associate Librarians or above, which could still skew the age distribution in UC libraries toward the upper end, though not as drastically as before the baby boomer retirement waves.

Baby Boomer Retirements. All of the participant-ULs mentioned retirements as an ongoing factor in succession planning, and several spoke specifically to the rapid change in their librarian ranks due to retirements. Avery discussed the shifting population in her library by saying, “Since you’re familiar with UC, [you know] people don’t tend to leave this system.” She continued, “When I came, it was all very senior people, but...a lot of them retired. So, now it’s quite a few lower-ranked Assistant/Associate level [librarians]. So, it’s completely changed since I got here.” Reese’s experience was quite similar, and she said of her population, “I would say now the majority would be early- to mid-career. We’ve had a lot of retirements over the last, oh, probably six years or so. So, a lot of our long-term librarians have retired.”

Rank of New Librarian Hires. Kelsey, Quinn, Jordan, and Lane all mentioned that they rarely hire early-career professionals. Lane summarized the issue succinctly: “Simply, the salary levels for entry-level positions are just not attractive at all.” In her interview, Jordan said, “We’ve had a lot of retirement. But...I don’t think I’ve ever hired in the Assistant range.” Discussing the same point in his interview, Quinn stated, “We basically don’t hire anybody at the Assistant Librarian level,” which means “we don’t hire anybody right out of graduate school...because, basically, we can’t afford—under the librarian’s salary schedule—to pay a living wage for the” geographic area at the Assistant Librarian level.

Kelsey reiterated this same point, asserting, “We simply cannot hire people at the Assistant Librarian level because of...the cost-of-living issue.” Hence, most of these libraries have populations that lean toward the mid-career level, though, to Jordan’s mind, this is only partially a cost-of-living issue, in that “we want people that have had some experience.” Quinn also noted that “the quality of institution and the jobs means that we can attract applicants from

across the nation,” many with a number of years of experience, which makes them more competitive for the positions than new graduates.

Age and Experience Distribution. When delving into the topic of age distribution in his library, Parker tied together succession planning, retirements, the relationship between new and experienced librarians, and how staffing changes allow ULs to consider organizational development. He said the average age of his librarians is “changing pretty rapidly,” but admitted that “retirements are a two-edged sword.” Indeed, he noted that retirements are

great, in that you can start looking for skillsets that people didn’t have. On the flip side, we lose all that institutional knowledge. And, so, I would say that when I got here eight years ago, the average age and average tenure...was really high.

There’s been research showing that the economic crash—2008 to 2012—caused a lot of librarians to delay their retirement... So, instead of retirement in their mid-sixties to mid-to late-sixties, they pushed it on to late-sixties or seventies. And we saw that here, definitely. We’ve had this massive fall off in the last three years or so to big waves of retirement. So, right now, we’re starting to skew younger and earlier career... In terms of succession planning, that is a bit of a problem because we don’t have enough people who are kind of mid-career...seasoned [enough] to help mentor incoming folks who have a lot of great ideas, but don’t have the organizational experience or sophistication to move those ideas through.

This comment points to the idea that mentoring new professionals is an expectation in library culture, and most of the participant-ULs discussed having informal mentors who guided them in their careers and helped them during their immersion into academic and/or library culture, knowledge, and values. Thus, without the later career librarians in place at UC libraries, ULs are

well aware that some of that mentoring and transferring of institutional knowledge that has become normalized throughout the profession is no longer happening, which in turn impacts library culture. That said, given the problematic monoculture embedded in libraries, there might be an argument to be made for a reset of library culture.

Leadership Competencies and Cultural Expectations of Library Leaders

As discussed in the literature review, there is no accepted competency model for library leadership, though there is a fair amount of overlap in the various competencies that have been proposed in the disciplinary discourse. However, for the most part, the leadership competencies the participant-ULs mentioned during their interviews were in line with those found in the LIS literature. This speaks to the cultural expectations within librarianship as to the qualities expected of and valued by those in the profession. That said, the ULs offered a few additions to those provided in the literature that are worth noting.

During data collection, leadership competencies came up not only in answers to the question that directly asked about them (see Appendix B), but also in what ULs said that they look for in people who have management potential as well as what skills they themselves have utilized to be successful in their current positions and/or throughout their careers. These competencies have been listed in the following tables along with the competencies listed in the library leadership competencies section of the literature review chapter. In order to make reviewing these competencies simpler, I have grouped them into three overarching categories: social skills, professional skills, and personality traits (see Tables 4-6). There are a number of items that straddle more than one category but, again for simplicity, each item has been assigned a single category and is listed only once in the tables.

Table 4
Library Leadership Competencies: Social Skills

Skill	Jordan	Quinn	Parker	Reese	Avery	Kelsey	Lane	Cameron	Blake	Robin
Give/receive trust	X	X			X	X		X		X
Communication skills		X	X			X	X	X		
Political understanding			X	X	X					X
Interpersonal effectiveness				X	X	X	X	X		
<i>Motivates others</i>		X				X	X			
<i>Listening skills</i>			X	X		X				
<i>Coaching/mentoring</i>			X	X	X	X				
<i>Influences others</i>		X	X		X		X		X	X
<i>Relationship/partnership building</i>				X	X	X	X	X		X
<i>Collaborative</i>								X		
<i>Networking skills</i>	X					X	X	X	X	X
<i>People skills</i>				X	X	X	X	X		

Note. This table lists the social skill-related leadership competencies extracted from the LIS literature (see literature review), additional leadership competencies articulated by the participant-ULs during their interviews, and which participant-UL mentioned which competencies. Items in italics are those listed by the ULs that were not included in the LIS literature.

The leadership competencies categorized under social skills are where the greatest agreement occurred between the participant-ULs (see Table 4). Of the 12 items listed, seven were mentioned by at least half of the study participants. The most common competencies that surfaced during data collection were the ability to give and receive trust from others, being able to influence others, adeptness at building relationships and/or partnerships, and networking skills. All of these indicate a cultural expectation from library leaders of adroitness at connecting socially and professionally with other people.

Table 5
Library Leadership Competencies: Professional Skills

Skill	Jordan	Quinn	Parker	Reese	Avery	Kelsey	Lane	Cameron	Blake	Robin
Delegates		X			X	X				
Empower others		X	X		X	X				
Negotiation skills	X							X		
Advocacy skills	X		X			X			X	X
Fund-raising ability	X	X		X						X
Planning skills					X					X
Resource management		X	X			X			X	X
Change management	X	X	X	X	X					X
Managerial effectiveness			X		X					
<i>Budgeting</i>		X	X				X			X
<i>Understand mission</i>	X		X						X	
<i>Conflict management</i>	X		X	X						
<i>Academic entrepreneur</i>		X								
<i>Knowledge of libraries</i>				X				X		
<i>Project management</i>			X		X					X
<i>Strategic thinking/ planning</i>		X	X		X					X
<i>Sets priorities</i>					X					
<i>Deals well with bureaucracy</i>					X	X			X	X
<i>Organizational development</i>						X				X

Note. This table lists the professional skill-related leadership competencies extracted from the LIS literature (see literature review), additional leadership competencies articulated by the participant-ULs during their interviews, and which participant-UL mentioned which competencies. Items in italics are those listed by the ULs that were not included in the LIS literature.

Of the 19 leadership competencies grouped under professional skills, only three were mentioned by at least half of the study participants: advocacy skills, resource management, and change management (see Table 5). One notable omission in the professional skills category is the

ability to succession plan. Indeed, during her interview, Avery pointed out that “University Librarians and most AULs are not actually trained in how to do that work... Culturally, it’s just not an expectation of library leaders that they will do” succession planning. What Avery said is both expected, given the lack of literature on the topic of library succession planning, and potentially concerning, given the waves of retirement currently happening amongst experienced librarians and library leaders.

Table 6
Library Leadership Competencies: Personality Traits

Trait	Jordan	Quinn	Parker	Reese	Avery	Kelsey	Lane	Cameron	Blake	Robin
Flexible/ Adaptive		X							X	
Energetic			X			X				
Enthusiastic/ Passionate			X						X	
Empathetic		X	X							
Mature					X					
Creative		X								
Self-confident	X							X		
Principled								X		
Determined/ Persistent	X				X					
Self-aware								X		
Open to new ideas	X		X						X	
Innovative		X								
Problem- solving		X								
Values people					X					
Integrity								X		
Cognitive ability	X		X		X					
Emotional intelligence		X		X		X		X		
<i>Big picture thinker</i>			X				X		X	
<i>Forward thinking</i>	X		X							X
<i>Commitment</i>			X							
<i>Able to handle ambiguity</i>				X						
<i>Humble</i>										X
<i>Compassionate</i>										X

Note. This table lists the personality trait-related leadership competencies extracted from the LIS literature (see literature review), additional leadership competencies articulated by the participant-ULs during their interviews, and which participant-UL mentioned which competencies. Items in italics are those listed by the ULs that were not included in the LIS literature.

The longest list of leadership competencies fell under the heading of personality traits, coming in at 23 items. This is also where the least amount of agreement occurred amongst the ULs, as none of the competencies were cited by at least half of the participants. The closest to

getting a majority, emotional intelligence, still received only four mentions. Compared to the other categories, the personality traits also had the highest number of competencies listed by only one UL—12 in total, which accounts for more than half of the list. The professional and social skills lists had only two and one single-mention items, respectively.

In discussing the importance of a leader's personality during their individual interviews, there were some direct contradictions between study participants. Jordan, for example, noted that a charismatic personality was an important advantage to a UL and could help with influencing stakeholders, while Robin and Blake both stated that a range of personalities—not just a charismatic one—could be equally successful in a top-level library administrator role. On this topic, Avery added that “temperament, personality, those are very subjective. But if you’ve got someone who’s super temperamental, you would ask them, ‘Is this really something you want to do, where you can never have a bad day, ever?’” She went on to say that, even then “people can evolve too. So, just because their temperament isn’t perfect now, doesn’t mean they can’t learn that. So,...[she] would say almost anybody has the potential, if they’re smart people and they really want to” go into administration.

Of the items found in the literature that were not mentioned by any participant-ULs, and thus were not included in preceding tables, there was one professional skill and 10 personality traits. The professional skill—customer service—could arguably fit under the people skills descriptor. Likewise, the personality traits—having a sense of humor and being wise, courageous, risk-taking, gregarious, articulate, results-oriented, assertive, accountable, and possessing good decision-making—could also be grouped under different descriptors. For example, being articulate could be considered part of having good communication skills. While being results-oriented and possessing good decision-making skills could also fit under

managerial effectiveness. In fact, several participant-ULs also mentioned the need for successful leaders to have “soft skills,” which would encompass most of the social skills and a goodly number of personality traits.

The breadth and depth of leadership competencies expected of library administrators is extensive, to say the least. That there is significant overlap between LIS scholarship and practicing library administrators on these competencies speaks volumes for the cultural expectations within the profession of current and future managers and administrators. The goal of succession planning, then, is to adequately train individuals in the necessary skills to meet these cultural expectations of library leaders, which would, presumably, give these individuals the greatest chance of success in a leadership role. However, when considering that these cultural expectations were built in a white monocultural, it becomes less clear how greater diversity in the profession might shift both the overall culture as well as the expected leadership competencies of library managers and administrators. Perhaps the competencies listed above would still be valued by those in the field, but which items garnered the most agreement might change. Or, perhaps, an entirely different leadership competency model would come to favor within a more inclusive professional culture.

Transitioning to Administration

Given the extensive cultural expectations of library leaders, it may be challenging to convince librarians to become administrators. As noted in the introduction to this study, few librarians enter the profession with the end goal of becoming a library administrator, and many might never consider applying for their first management position without some encouragement from a mentor, supervisor, and/or library administrator (Anspaugh & Lubans, 1987; Singer, Goodrich, & Goldberg, 2004; Vincent, 1988). Indeed, of the 10 participant-ULs, none entered

academia expecting to become a library administrator, and eight attribute either going into management or building up their management skills to become a UL to a mentor or supervisor.

Avery spoke about how, when people have gone into librarianship, “it wasn’t to become a leader in a library organization. So, that’s true...most librarians don’t get into the field to become a UL.” She continued, “Don’t you think that reflects the whole faculty culture? People don’t become professors to become a department chair or a dean. In fact, that’s the last thing they want to do, usually.”

A point mentioned in this study’s problem statement is that many novice managers struggle with supervising other librarians’ work (Howze, 2003; Kearley & McCarthy, 2011). One participant-UL surfaced the additional challenge of transitioning from colleague to supervisor in the academic library environment. Reese noted that when a librarian makes that move, “there can be very real, almost jealousy that exists” and “it’s a disincentive to somebody who might be thinking they would like to be in a leadership position.” However, she also pointed out that the tension that exists between academics and administrators “can be even just something as simple as somebody not wanting to be managed and wanting to be able to do what they want to do” and “nobody else is going to tell them what to do, because there is that in the academy as well.”

Quinn also described an atmosphere of distrust in his library when new people are hired, particularly at the management level. This mistrust between academics, such as librarians and faculty, and managers/administrators is not limited to the UC system and has been observed in other areas in higher education in the United States. For example, Bean (2015) wrote a personal essay about her experience moving from faculty to administration at Hartwick College in New York, losing professional friendships in the process, and dealing with open animosity from

academics. She made clear this issue is larger than the UC, saying, “Sadly, the nature of academe itself, with its intractable tension between...[academics] and administration, had rendered me an outsider, and I could never go back” to being a colleague to other academics (Bean, 2015, para. 19).

Unfortunately, Reese noted something similar in her experience when she stated that “you are good friends with somebody, but you recognize that maybe there’s something about the way they do their work that needs to be changed,” and it’s the duty of a manager to correct performance issues. However, that corrective action can sometimes be one step too far beyond the colleague role, and she said, “I’ve seen librarians just leave the profession because they’ve tried it [management], they just get totally burned out, and they feel as though their relationship and their friendship has been damaged and it’s just not worth it.” Knowing that, Reese pointed to the challenge of making the leap between librarian and manager or administrator. For a high-potential librarian “who wants to get started, a challenge is how do we compensate them, what’s the incentive for somebody to take on potentially some headaches. Supervision can be challenging, and so, what’s the reward?”

In the UC system, there is some additional compensation, typically in the form of stipends, for managers at the department head and subhead level when they take on a HEERA-defined supervisory employee position, but that may not be enough to convince people to transition from a union-represented librarian position to an unrepresented management position (UCOP, 2018). Considering that department heads and subheads do not have retreat rights back to librarian positions unless they are in interim roles and knowing the risk of losing friends to the existing cultural tension between academics and administrators, it’s not difficult to see how librarians might need some encouragement and mentorship to successfully move up the library

hierarchy. Indeed, with respect to encouraging or mentoring librarians to apply for management positions, a key element in succession planning, there is an overlap between culture and the UL's agency within the library setting. With so many of the ULs having had mentors of their own to push them to pursue appointments as managers or administrators, they are certainly aware of the influence that type of mentorship can have on a librarian's career.

Hiring Externally in Academia

As discussed in the literature review, another area of culture that might make succession planning difficult is the preference in academia for hiring outside candidates, which makes it less probable that someone could go from librarian to administrator in the same library (Richards, 2016). Barden (2008) labeled the phenomenon where academics are not confident in judging the relative competence of insiders versus outsiders as the *internal-candidate syndrome* and suggested this syndrome was caused by a combination of institutional isolation and lack of buy-in for succession planning. A year later, Barden (2009) noted that the "egalitarian nature of colleges and universities" means that, culturally, "it just doesn't come naturally in academe to single people out for leadership potential" as part of a succession plan, but with prevalence of *internal-candidate syndrome* "a national search frequently has the effect of disenfranchising worthy internal candidates" (paras. 7-11). This cultural barrier to succession planning obviously intersects with the structural barrier in the form of the UC recruitment policy that requires competitive searches for open positions, but the cultural aspects will be covered in this section.

When discussing the propensity for hiring externally, Robin said,

I think libraries, quite often, seek out that external candidate. And I think libraries place a lot of belief—this is a definite opinion statement—in the transformative value of the external expert. And so, we see this all the time when we recruit folks into positions is,

somebody with an idea that hasn't quite been said the way we've been thinking about it seems to sparkle a little bit more. And we get inspired about what that person's going to bring to the organization... And that's not bad, but I think there's a little bit of a bias in how we think about organizational change, that we need external folks to come in.

During her interview, Cameron shared a similar anecdote from her own career: "I had a mentor who told me if you want to advance, you really need to go to many, many more institutions and gain those different viewpoints." The conversation in Avery's interview indicated that her perspective would align with Cameron's mentor. Avery noted that "there is a certain kind of group-think that you get after you've been in one institution for a long time. So, I personally value people who've worked somewhere else, at least at some point."

Assessing the situation pragmatically, Lane said, "When it comes to looking for a good leader, really you're looking for a good leader from anywhere on earth. You want to have the best candidate possible" and that "doesn't mean that you will have internal people in those positions. And most of the time, it won't be" the internal candidate chosen. Quinn made a similar point during his interview, stating that, "We do a lot of our hiring externally...we don't have to depend on internal promotions," though that "doesn't mean we don't want to promote people, but we don't have to."

For the most part, the above comments are about the positions for which the participant-ULs would be involved in the hiring process, essentially, any position within the library hierarchy. However, Kelsey was quick to note that the same is not true for hiring a new UL, in that "the people who hire University Librarians are not themselves librarians. And they are just as likely to hire someone external as someone internal, if not more so." The departing UL is typically gone by the time their replacement is hired, and it is often campus leaders from outside

of university libraries who participate in those searches, with only one or two library representatives on the search committee. This aligns with some of the issues noted in the literature review about succession planning in the corporate sector, where a company's board of directors hires the next CEO, and board members may not have been involved in succession planning processes. In the case of the UC library, it is campus leaders who may not have been involved in—and, indeed, may not even be aware of—any succession plans developed within the library.

During my interview with Reese, she offered the sole counterexample to departing ULs being uninvolved in the search for their successor. Here is the relevant excerpt from that interview:

Reese: So, you mentioned in the corporate world that somebody brings in their successor. And that is not something we tend to do in academia at all. But when I came to...[my current institution] and was going through the search process, my predecessor was still in place, and he actually participated in the interviews. He was very upfront with me and told me he was writing to the search committee and the provost and the chancellor with his opinions about the candidates who came in. So, he didn't get to pick, but he got to weigh in.

Crystal: That's very unique.

Reese: Yeah, I know. I had never heard of that before.

Crystal: Never.

Reese: But it's interesting that he was in that role. And, of course, I have no idea how his feedback was considered, whether it was considered at all, or whether they valued it a lot.

When it came to considering ways to circumvent the cultural bias against internal candidates and overcome *internal-candidate syndrome*, the participant-ULs had a few thoughts to share. Robin said, “I think investing in leadership growth within your organization and empowering people to make decisions at the right level is a way to short-circuit that belief that you need to bring an outsider in, in order to be effective.” Cameron, on the other hand, put the onus for overriding *internal-candidate syndrome* on the internal candidate. She said, “people who are advancing internally, it’s up to them to show how they are getting new ideas and how they go about getting new ideas through conferences [and] traveling.” They need to do the work and research “to show that they are not just taking a narrow viewpoint and are able to bring back new ideas and bring that kind of sense of ‘new blood’ to an organization,” and she thought that “has to do with their intellectual curiosity and their ability to share information and bring it back appropriately.”

However, while Avery wanted to avoid the group-think that comes from staying in one place for too long, she also said, “I look for people who have had some exposure to the real world outside UC. On the other hand, I really value people who’ve had UC experience, because it is such an odd institution compared to anywhere else I’ve worked.” Reese also commented on the benefits of promoting internally versus the allure of external hires, saying, “It is sometimes a real conundrum because you do want that organizational knowledge,” and “if an internal person moves up in the organization, it’s often much easier for that person to just take charge because they essentially know the place, and they know what they think needs to be done.” Whereas a new person “coming in has to learn the whole organization, and that takes a long time. I mean, it takes at least a year in a senior management position, but often even longer.”

Reese then put another spin on the issue of internal versus external hiring by noting that there are times when “internal” is not defined as the UCs libraries, but the Association of Research Libraries (ARL) member libraries. She noted that what “hinders us in academic libraries is this stratification of libraries.” She pointed out that those working in community colleges or liberal arts colleges tend to stay in those same type of institutions, possibly because they prefer those institutional settings, but also because they are not taken seriously as job candidates when they apply for positions in other types of academic libraries. She said that there are large universities libraries that “aren’t ARL libraries. And just this belief—and I’ve heard people say about UL searches that are going on—‘Oh, that position, they’re looking for a sitting ARL director to fill that position.’” She went on to say, “I remember, actually, when I came to...[my UC campus], I heard comments from people about [how] I came from a non-ARL library, and they were shocked about that.” Thus, there are the structural definitions of internal candidates—someone who currently works at the institution—and possibly a slightly different cultural definition that labels those working in the same type of institution as internal, or rather, as an insider. Therefore, it may not be enough to work in a large university library to be considered a cultural insider when applying for a UL position in an ARL member library, which accounts for 80% of the UC libraries.

Concluding Comments about the Impact of Culture on Succession Planning

In summary, there are a number of significant cultural factors that impact academic library succession planning in the UC system, and many of them intersect with—or, perhaps, co-create—structural and agentive impacts on succession planning, as well. Mentoring future library managers and fostering their leadership competencies is, no doubt, a daunting task, given the plethora of skills, abilities, and traits expected of leaders within LIS culture. Even when

appropriate competencies have been built, there continues to be cultural resistance in the academy as a whole to the very concept of succession planning, in part because of a strong preference to hire external rather than internal candidates for administrative positions.

Furthermore, demographics play a notable role in library culture. With an overabundance of white, female baby boomers heading into retirement, comes the potential—though by no means a guarantee—to end the monoculture that has been an LIS characteristic for decades. Indeed, all of the participant-ULs mentioned retirements as an ongoing factor in succession planning, and discussed appointing interims, replacement planning, or using the retirement as a trigger for rethinking the needs of the organization. Thus, it is important now to discuss how the individual ULs choose to act or not act within their culture and structure on matters of succession planning.

Agency

At any given time, the participant-ULs must navigate multiple layers of structure and culture to accomplish almost anything, including succession planning. Navigating structure involves accommodating and managing bureaucratic hierarchy, state laws, policies, and contracts; in terms of the cultural layer, UC librarians are positioned simultaneously in the culture of the UC system, as a whole, their individual campus cultures, the cultures of their particular libraries, and the culture of the LIS profession. In some instances, the participant-ULs have more power to act—more agency, if you will—than in others. The extent to which they use what agency they possess is a matter of personal and professional judgment, usually tempered with many years of experience in academia.

Perception of their agency is something with which ULs must also contend. To those within the library, the UL seems like the ultimate authority as the top administrator. However,

casting an eye to the full height of the UC hierarchy would make it appear as if the ULs are in middle management positions. Even in acknowledging this, the ULs still have access to and connections with those in positions above them, and they can choose to use this access to power in ways that benefit those they want to develop as future library leaders.

On a day-to-day basis in their libraries, ULs have a variety of strategies they use to build up librarians with high potential. They have their own philosophical approaches to leadership and management, which influence how they work with managers under them, and what leadership competencies they choose to emphasize and develop in their subordinates. In essence, they have agency to select what succession planning strategies they implement.

Defining and Supporting Succession Planning

As mentioned above, all of the participant-ULs claimed that succession planning was important to their library and/or the profession. However, how they define succession planning impacts the strategies they implement to develop future library leaders. For the most part, the ULs defined succession planning in ways that aligned with the LIS scholarly literature, in that it takes a systematic effort to put plans in place that will a) ensuring leadership continuity for critical positions, b) growing and retaining intellectual and knowledge capital, and c) encouraging individual advancement (Bridgland, 1999; Rothwell, 2005). To this, the ULs added the idea of succession planning not for their organization, but for the LIS profession at large.

First, it should be noted that only one of the ULs—Avery—spoke about a deliberate and systematic effort to establish a documented succession plan in her library, which was an ongoing project at the time of her interview. The other ULs described less formal planning processes that involved discussions with senior leaders and managers in their libraries, but not the whole organization.

Succession Planning for the Profession

Regarding the notion that succession planning goes beyond their library, several ULs noted that they can build leadership capacity in their libraries, and have at least some say in promoting internally up to the AUL level, but not to the UL level. They were also cognizant of the fact that the higher one moves up in the library hierarchy, the fewer positions there are available in any given academic library. At the UL level, there is only one position available, which they occupy in their libraries. A number of participants said they are unlikely to retire or move on in the next 10-15 years, so any leadership development they are doing to get lower-level administrators prepared to move into top-level administrator positions would require those people to leave their current library. Likewise, the more librarians or managers they have who wish to shift into management or administration, the more likely it is that at least a few of those employees will have to seek such positions elsewhere. Given the pension system, these librarians, managers, and lower-level administrators might prefer to move up within the UC system, but the opportunities are limited, so some will need to leave the system if they want to serve as managers or administrators. The participant-ULs made it clear that they consider training library leaders who then take leadership positions in other libraries as one aspect of a successful and effective succession plan—by doing their part to widen the pool of qualified management and administration candidates, they strengthen leadership in LIS as a whole. Several participant-ULs also openly celebrated the success of those who have left their libraries to take manager or administrator positions elsewhere—encouraging individual advancement wherever that advancement might take place. Thus, they framed succession planning as a service not just to their libraries, but to the profession.

Reese provided a response that succinctly captured the thoughts of many of her colleagues regarding the meaning of succession planning:

Well, it means two things to me. One is it means planning for the organization...both the short-term and the long-term, to try to be prepared because people do come and go in organizations for a whole variety of reasons. And, so, I've always felt that it's important to have some plans in mind, sort of contingency plans of what would happen if person X left for any reason. And how would we fill that gap? So, that's for the organization, but I think there's also succession planning for the profession overall, in terms of trying to move it forward and trying to ensure that the next generation of middle managers is ready. The next generation of senior managers [are ready] to address EDI issues, and particularly to try to increase diversity at the senior leadership level. So, all of that goes through my mind when I think about succession planning.

Succession Planning and Organizational Development

Other ULs framed succession planning as one facet of organizational development (OD), and OD is primarily geared toward transforming organizational culture through knowledge management and organizational learning (Glanz, Rimer, & Viswanath, 2008). Thus, this perspective is less concerned with individual advancement and more interested in ensuring leadership continuity for critical positions. To do this requires growing the necessary knowledge base in librarians, which may result in individual advancement, but making the organization as resilient and flexible as possible is the ultimate goal of this approach. Quinn illustrated this point when he said, "I guess I'll say it [succession planning] is important, but I think I put more emphasis on the organizational planning and the organizational culture that I do on individual succession planning, generally."

Succession Planning and Professional Development

Another theme that surfaced regarding the definition of succession planning is how it intersects with professional development. The union contract specifies the minimum amount of professional development funding that librarians must receive each academic year, and these funds are typically spent at the discretion of the librarian (UC, 2019). Cameron underscored the importance of “creating a [leadership] pipeline within the actual library organization in terms of succession planning,” but said doing so often “intertwines with things like retention and professional development.”

To a degree, Jordan’s thoughts on the matter followed similar lines, and she stated that, “I think succession planning really is a proxy for professional development. So, in my mind, it’s really important to give everybody—staff, librarians, everyone in the organization—access to funding for professional development.” However, as Robin noted, library staff are not represented by the same union as librarians and, thus, do not have such funding guaranteed in their contracts. He said, “Our professional development program just includes more latitude” for librarians, which translates to library staff having less discretion in how they develop professionally.

How participant-ULs define and frame succession planning often impacts how important they think library succession planning is—from absolutely critical in its own right to a small but key part of broader organizational development—and, thus, how they select succession planning strategies and what they consider an effective succession plan. Their framing of succession planning, therefore, is one of the agentive factors that influence the ULs’ desire to succession plan.

Limits to Agency

Other agentive factors that could influence the participant-Us' desire to succession plan are the cultural and/or structural limits placed on their agency. Arguably, ULs are in the position in the library with the greatest amount of agency, but their interviews revealed that many have a very practical understanding of where the limits of that agency lie. Some provided examples of when and where they learned those boundaries through difficult professional experiences, often relatively early in their tenure as an administrator.

Agency and Access

While the position of the UL in the UC hierarchy is close to the middle of the organizational chart (see Figure 5), it is still the highest-ranked position in the library on every UC campus. This creates a unique positionality in the overall organization structure, and it is likely that a UL's agency is considerably more constrained outside the library than within. However, as Jordan pointed out, the UL role is "a campus position. It is not an internal position" to the library, in that, unlike internal positions, ULs are selected primarily by administrators outside the library, and a great deal of their work is at the campus level and beyond.

Robin stated, "I would say [of] the University Librarian level...it's the first level where you have reasonable expectation that you actually could speak to anybody at the UC level above you." What that indicates is a greater level of access to those in power than anyone else in the library could hope to have. He went on to say, "I think that University Librarians...should recognize the power of that access and, you know, seek to activate it for staff wherever possible. That really gets back to how I think about creating opportunities for my direct reports."

Thus, ULs have the agency to wield their access to senior campus and systemwide leaders in ways that can build needed leadership competencies in their subordinates. This

competency-building effort could entail anything from facilitating a meeting between library staff and a campus administrator to allowing library managers and librarians to serve on systemwide committees. In short, ULs' access has the potential to transform careers. How, *and if*, ULs use their agency can play a large part in making career transformations happen.

Agency Versus Structure

Learning to work within the systems and structures of the UCs was one of the key elements that several ULs mentioned as important to their success as an administrator. However, just because they are aware of the boundaries of those structures does not mean that others in their library have the same awareness. One example of this is the requirement to have competitive recruitments to fill open positions, unless a waiver can be obtained. Many ULs mentioned using interim positions as a way to grow their employees' professional experience and competencies, which would make them more competitive on the job market. For librarians that might mean serving in an interim management position; for library staff who have gotten their LIS graduate degree that might mean holding a temporary librarian position.

However, in Blake's library, she noted, "The pushback that I get from librarians in temporary positions is, 'You should be creating permanent positions for all of us. There should be a pathway from temporary to permanent.'" This demonstrates a false assumption about how much agency a UL has in creating and hiring positions. Blake then said, "I think they don't fully understand how the academic lines work, and that I don't have the flexibility" to hire internally without an open search process. She continued, "That's the reason we do have a few temporary positions, because that's the only way we can expand our librarian workforce, because we don't have the flexibility to create" permanent positions without campus-level approval, not to mention that a new position would still require a competitive search. That said, the temporary positions

give staff necessary librarian experience that they might not otherwise get, which does provide them with a competitive edge during the hiring process. Blake acknowledged this, saying there were no guarantees she could offer a position to someone, “but it is a possible outcome that one of these temporary librarians will end up in a permanent position.”

In these cases, various structures—such as the recruitment policy and the campus-level approval needed when creating new academic positions—prove to be limiting factors in the ULs’ agency to promote internally as part of a succession plan. Theoretically, a succession plan *could* include a pipeline from library staff to librarian to manager to administrator, if ULs were granted the freedom to shape their workforce in any manner they thought would improve the organization.

Agency Versus Culture

There are a number of ways in which culture impacts library succession planning, as mentioned above; however, it is also useful to note where culture intersects with agency and compounds the impact on succession planning initiatives. Several participant-ULs discussed incidences where the culture of their campus or their library clashed with their efforts to promote organizational change. While these examples are not necessarily related to leadership development or succession planning, the pushback they received highlights the type of culture prevalent on UC campuses and could feasibly impact a UL’s desire to succession plan.

The first example of agency clashing with culture was discussed in the section above on demographic stasis and cultural change. Avery talked about wanting to create a new strategic plan that would get people to reconsider their job skills and how they might be applied inside and outside of the library setting. Her librarians and staff thought this was a prelude to being fired, felt threatened, and fought the entire process. As the UL, Avery certainly had the authority to

create a strategic plan for her library. She mentioned, however, that the culture of the UCs is very bureaucratic and resistant to change. So, the system, campus, and library culture inhibited her agency in this scenario.

Two other ULs related stories about change management in their libraries resulting in clashes with campus culture—and structure, to some extent. For Blake, this began as a significant reorganization in her library, which was resisted by librarians and spilled out into a campus controversy:

I worked with the chair of the academic senate, who was really helpful, and coached me through this, and was on my side. The provost...and the library committee recognized that I had the authority to reorganize within the library, that we were not substantially changing services. So, I had to write all these documents clarifying the misconceptions, et cetera, et cetera.

What my misstep was, was not recognizing that even though I had the authority over how the library staff were organized, the culture here is that I would do extensive consultation anyway. Even though it wasn't in the academic senate's purview, it wasn't in the faculty's purview, they needed much more preparation [and] information in advance. They didn't like the idea that something was happening behind the scenes.

For Jordan, problems with initiating change began as an extensive weeding of library collections. "Our science library was like a collection in amber," she said; "because it wasn't growing, but it was just bound journals, indices and abstracts, very few monographs, all just not being managed." The impetus for this weeding project was a lack of student space on campus. She felt clearing out the unnecessary volumes from the science library would make the space more functional while simultaneously helping students and the campus. She said, "I had this

great idea, we'll have the annual Founder's Day event up there in the cleared space. I talked to the senate, it's in all the minutes." However, even though she did consult with the academic senate, she did not have supportive senior administrators to back her up, so the project still became contentious. She noted, "Oh, my gosh. The firestorm...[it] got really like boiled up, boiled up. I mean there was this faculty member—it was like his mission in life to bring me down, and it was terrible." The furor did not abate until the faculty member suddenly passed away, and there was no one else who was as upset about the weeding project, so the controversy dissipated at that point.

Within Blake and Jordan's accounts, the interaction between structure, culture, and agency becomes quickly apparent. Both showcase a culture that resists change and expects significant consultation with the faculty senate—a structure extant on most university campuses, but especially powerful at most UCs—prior to making any changes within the library, regardless of whether the UL has the authority to exercise their agency in making these decisions.

In the scenarios recounted above, campus leadership reacted in different ways. On one campus, senior leadership in the faculty senate was supportive of the UL and, on the other, it was not. This made a significant difference in how the controversies played out. For Blake, it meant extra documentation of her decision-making process for the senate, but with coaching by those more experienced with the campus culture. For Jordan, even attempting a consultation process with the senate failed to allay concerns about the changes she was making, and without the support and coaching from her superiors, she felt as if the administrators above her "just ghosted...[her. She] was just hanging out in the breeze...it was terrible."

A less-detailed report from Robin described some of his experiences as a novice administrator in a UC library. He also noted that working on a UC campus involved "multiple

unions, huge staff, massive change management issues” and by attempting to institute change in the library, he said, “I walked straight into a buzzsaw because...the tradition-bound organization...was all new [to me].” Robin’s experiences seem to align well with Parker’s description of the UCs as “an incredibly baroque culture, and you definitely need to learn it to be able to navigate it.”

A highly structured workforce in a tradition-bound, baroque culture would understandably cause some hesitation in going through a formal succession plan that considers the entire organization. Such an environment might discourage ULs from using their agency on projects they do not consider mission-critical to the library.

Leadership Styles

Another agentive theme that emerged during data analysis was the espoused leadership styles of the ULs. While most of the participant-ULs did not necessarily follow a specific school of thought about leadership, three did: Robin, Lane, and Cameron. They named human-centered leadership, appreciative leadership, and self-reflective leadership, respectively, as the styles which they follow and felt best fit academic libraries.

Human-centered leadership was Robin’s style of choice. This approach to leadership involves leading with compassion and humility, qualities, Robin feels “are really important because libraries are inclusive, consensus driven organizations. And, so, you have to have skills that...recognize people’s contributions and provide support for them.”

Human-centered leadership arose from the idea of human-centered design, which emphasizes integrating stakeholder perspectives during problem-solving processes; indeed, the goal would be to find ethical and empathy-driven solutions, guided by stakeholder needs, with an eye toward improving stakeholders’ quality of life (Aders, 2021). In a library workplace

scenario, the stakeholders include both library patrons and library employees, and the scenario requires a delicate balancing act by library leadership to achieve a true centering of all the humans involved.

During her interview, Cameron explained her preference for “self-reflective leadership,” which she described as “an umbrella term...[that] incorporates emotional intelligence and really good communication and people skills.” She went on to state that it also includes “self-reflection about what your values are, what are your goals in your trajectory, and being able to see your path in a more holistic way.” Multiple articles, both scholarly and popular-press, discuss the benefits of building self-reflection as a leadership development tool and indicate that self-reflection can lead to improved communication and decision-making, greater engagement and effectiveness, and increased motivation, self-awareness, self-confidence, feelings of empowerment, and expressions of values, ethics, and authenticity (Beheshti, 2018; González Sullivan & Aalsburg Wiessner, 2010; Harry-Nana & Bosch, 2020; Lanaj, Foulk, & Erez, 2019; Morrison, 1996).

For his part, Lane indicated that appreciative leadership theory was the model he follows. He noted that he “started with the Appreciative Inquiry Theory. I spent a lot of time studying this,” he said, “and I try to use that in my work. And I do appreciate my staff, their contributions, and their talents, and we have lots of talent.”

Digging deeper into the topic of appreciative leadership, Lane said, “It’s also very important to be able to mobilize your staff, and the gist of that theory is to not to avoid problems, but to focus on the future, address these problems for the sake of the future.” From there, he noted that “with that positive kind of approach, you’re going to have influence over your staff and constantly build these kinds of relationships.”

Appreciative leadership's more official definition is the "relational capacity to mobilize creative potential and turn it into positive power—to set in motion positive ripples of confidence, energy, enthusiasm, and performance—to make a positive difference in the world" (Whitney & Trosten-Bloom, 2011, p. 42). In their article on the subject, Whitney and Trosten-Bloom (2011) cataloged four traits that appreciative leadership practitioners have in common

1. They are willing to engage with other members of their organization or community to create a better way of doing business or living.
2. They are willing to learn and to change.
3. They truly believe in the power of the positive.
4. They care about people, often describing the work of their organization or business in terms of helping people learn, grow and develop. (p. 41)

The three approaches to leadership that Cameron, Lane, and Robin discussed have some similarities in that they focus on building positive relationships, prioritize empathizing and emotional intelligence, and all center on an approach to practice that encourages leaders to learn and grow. This is not to say that other participant-ULs do not include these elements in their own leadership styles; they simply did not name a particular theory or approach they followed regarding leadership. Instead, they discussed their leadership style in action, typically under the auspices of how their style was used to help develop leadership capacity in their direct reports. Therefore, this aspect of leadership styles will be included in the following section on formal succession planning as well as a later section on the informal succession planning strategies used for developing managers and lower-level administrators.

Formal Succession Planning

Of the 10 participant-ULs, only Avery had engaged in a formal succession planning process, which was tied in with crafting a new strategic plan for her library. Although her experience is unique amongst the participants and does not represent a group theme, per se, given the subject of this study, it seems pertinent to include information about how this strategic plan and its accompanying succession plan came into being. This information surfaced during my interview with Avery, some of which is transcribed below:

Crystal: So, what have you tried as a strategy, and how did it go?

Avery: I think it's just the cultivation part...independent of succession planning. I've tried to help people in the organization pick up those skills that they need. So, mentoring people about what they need beyond just the expertise as a librarian, and then giving them opportunities to get those skills. Like I said, I tell everybody, "Learn project management. Even if you're not doing it, you need to know what it is." So, in a way, that's related to succession planning, because it's making sure people have an opportunity to learn things that are outside the scope of their professional expertise. And strategy, being part of a strategic planning process, right? In fact, we're going through one right now. And the makeup of the steering committee that's running that is quite different. There are quite a few staff on it, and people of color who've really never had any significant role in the library.

So, here's an opportunity for them to learn how to be strategic, learn more about how the organization works. Some of them are going to end up going to grad school and becoming librarians, or getting a PhD like you are... So, it's providing those opportunities, particularly [to] people I'd like to see move into the profession or move up.

Crystal: So, how do you identify those people, or is that something that your leadership team talked about together? Who—

Avery: In that particular example, which is very specific, we hired a consulting company to help us design the strategic planning process: DeEtta Jones and Associates.² I don't know if you know her, but—

Crystal: Yes.

Avery: Yeah, so DeEtta's got—she has a formula for this. And she helped us choose the steering committee, and I thought it made a lot of sense, what she was proposing, but it was outside what libraries normally do. So, sometimes it takes that outside perspective to see that there are other people in the organization that you could mentor beyond the obvious suspects. And that's worked out pretty well.

Crystal: That's super interesting, yeah. I've known people who brought DeEtta in for training, but never for the consulting role of “how do we make this work?”

Avery: Yeah. Her company does quite a bit of strategic planning consulting, and we didn't need someone to write a strategic plan for us, but the process. She's brought some really creative ideas to that. And what we're hoping to get out of it is very different, because it's not just about what the library's goals are going to be, but really reframing

² DeEtta Jones has a professional background in higher education and non-profits and started a management training and consulting company in 2005. This company specializes in guiding “leaders and organizations on a journey that builds capacity, strengthens innovation, and increases organizational performance by creating a more equitable, diverse, and inclusive environment” (DeEtta Jones & Associates, 2022, para. 2).

everything with a DEI lens. So, it's not what we do, so much as how we do it, that we're looking at.

Crystal: Interesting.

Avery: And that was her influence. So, that's a different form of succession planning, I guess.

Crystal: I think a good strategic plan is often part of a good succession plan. They tend to go hand in hand, from what I've seen.

Avery: That's right. That's right. Very good insight. Yeah, because part of succession planning and getting people excited about your organization, is showing them that there is a vision, and that the culture of your organization supports it.

From there, Avery went on to discuss more about her succession planning process, which included her leadership team. This team is made up of eight individuals: Avery and her direct reports, including Assistant/Associate University Librarians (AULs) and equivalent deputies and directors who are not in academic appointments. During this portion of the interview, she also noted the additional time pressure her team feels because of the number of baby boomers exiting the profession. She said there have "been so many retirements in the last decade, both at my level and across the whole profession," and indicated her leadership team needs "to make sure we understand where our organization is going, the kind of people we're looking for, and are building that pipeline, before we have a crisis." When asked if this sort of understanding tied into her formal succession planning process, she said it did. Her team brainstorms what they would do if a critical position opened up; they examine whether they would keep the position as is or

change it, and whether they would use the opening as an opportunity for reorganizing their hierarchy to better meet developing campus needs. Her team goes through each team member's assignments and, "for some of them it'll be like, if they've got three department heads who are within five years of retirement, there'll be focused on that aspect;" however, "if they've got brand new people, then they may be thinking more about mentoring staff into more management-level positions over the next decade." Thus, to her mind, "it'll vary by area, but each of them should have that plan written down," and she expects the process to take the better part of an entire year.

This process was still in progress at the time of her interview, so the final results were not yet solidified. Since many of her colleagues also discussed strategic planning—both formal and informal—it is unclear why only Avery has chosen to fold succession planning into the strategic planning process, except that, as also noted by Avery, the ability to succession plan is not seen as a necessary leadership skill to develop and, culturally, few in the LIS field believe succession planning is a priority. Hence, the remaining participant-ULs favor what Lane called an "informal approach" to succession planning, presumably because an informal approach does not require a systematic approach be articulated or end with a written plan. For Lane, it is preferable to "do it [succession planning] in a soft way. Not having a formal, kind of rigid plan in place, and that's just the nature of the academic enterprise." This preference for informal approaches to succession planning shows significant alignment between the participant-ULs and the campus-level administrators (e.g., chancellors, presidents) in U.S. higher education that were discussed in the literature review.

Informal Succession Planning Strategies

The participant-ULs discussed a number of informal succession planning strategies they use to build leadership and management capacity in library employees. For librarians who are not managers, these typically included funding for professional development or appointing them to interim management positions to give them experience. For those already in management or administration roles, such as department heads or AULs, this often included more direct mentoring about leadership competencies that the UL had noted are necessary for success as a top-level administrator. The discussions about mentoring managers and lower-level administrators were also where descriptions of leadership styles came into play, as mentioned above.

Strategies Used for Developing Managers and Lower-Level Administrators

In terms of leadership style-focused mentoring, one of the main avenues for developing managers was the judicious use of delegating responsibility as well as consensus building in leadership team meetings in order to develop the skills of those who might move into a top-level administrator role in the relatively near future. This type of development effort was typically used with department heads and AULs, rather than librarians or library staff.

Leadership Styles as Related to Succession Planning. While discussing the various leadership styles he could apply to management, Quinn said, “Technically, I can be the dictator—in the academic way of things, the dean could make the decisions. It’s not a democracy, but I don’t want to because I don’t think that’s good for the organization.” Instead, he prefers that for “strategic decision-making, everybody in leadership should be involved, and we can’t necessarily get consensus on everything. Not everybody’s always going to agree, but we try to get close to consensus, and we have practices which we’ve developed through retreats.”

He went on to note that their practice is that “once everybody’s had a chance to air their views and has openly debated something, that once we reach a decision everybody’s supposed to buy into it and own that decision because they had a chance to be heard and participate” in the decision-making process. What he describes is both a leadership style that encourages discussion, but also expects conformity at the conclusion of discussion; thus, the opportunity to participate in strategic decision-making also means taking on part of the ownership of and responsibility for the outcomes. By encouraging participation, building as much consensus as possible, and setting expectations for taking responsibility, Quinn provides mentorship and models a leadership style that could be used by his subordinates in their current positions as well as any future leadership positions they might serve in.

In a related line of thought about his leadership style and how that works to develop leadership, Quinn pointed out that, “I delegate a lot of responsibility, not because it lightens my load—I work longer hours than most of my team, or at least as long—but because I want them to have the opportunity [to develop their leadership skills],” and because “I don’t want them to just be doing what I tell them to do.” Delegating allows his subordinates to take on management responsibilities that they might not be able to experience otherwise, which he sees as an important leadership development strategy. Equally crucial for his subordinates’ development is his support for their decision-making, which helps them grow confidence in their own leadership skills. He then said, “I basically don’t micromanage and...try to arrange for people to have the resources they need—within constraints, obviously—and the freedom to make decisions and move forward.” Underscoring that freedom is “the confidence that...[he] will back them up... [he doesn’t] then second-guess them and blame them if things don’t go well.” He concluded with the following statement: “As long as they’re keeping me informed and they’re being ethical, I’ll

support their decisions and back them up and try to enable their success.” Given that delegating was one of the professional skills listed in the previous section on leadership competencies and cultural expectations of library leaders, Quinn’s actions model a leadership competency for his direct reports while simultaneously using delegation as a succession planning strategy to grow leadership capacity in his library.

Parker described a similar tactic when he talked about including his AULs in strategic decision-making, noting that, “I feel really confident that if I had to suddenly go out for any extended time that my AULs now should be able to step in and keep the place running.” Part of this conviction is because he makes sure his AULs are “part of the budget decision-making, they’re part of the strategic thinking,” and they work with him to prioritize “in terms of, how do we want to repurpose positions as they become available, where do we want to invest more, where do we need to pull back from, just because we don’t have the resources?” Before he took on the position as UL, that sort of participatory decision-making had not happened in his library. Indeed, he stated, “[the AULs] who were here when I got here, the first time I brought them in on a budget discussion” they were surprised and said, “[Parker], we were never allowed to be part of these conversations before, it just didn’t happen’... They were very excited.” By doing this, he is not only confident that his AULs could cover for him, if the need should arise, but “should they want to, they’re going to be ready eventually to step up to be UL someplace.”

Interestingly, Robin indicated he had benefited as an AUL under a UL who used this approach to informal succession planning. With the support of his then-UL, he indicated, “I was able to work on UC-wide projects that had...longstanding, high-level impact. And it got me access to folks at UCOP [the University of California Office of the President] that I needed to be successful.” This ties back to Robin’s comment, reported above, that, even with the limited

agency he might have with top-level UCOP administrators, he can use the access he has to benefit his own leadership team, just as his former UL did for him. Indeed, when discussing succession planning, he said that he is “really being mindful of creating different levels of leadership opportunities for...[his] direct reports [e.g., AULs]. I think I focus less on” department heads when using this type of developmental succession planning tactic.

Mentoring and Coaching as a Succession Planning Strategy. Also emphasizing the importance of mentoring and coaching for his direct reports, Kelsey thought that “a lot of times the biggest mistake people [ULs] make is thinking that they’re the best mentor or trainer in the world, when realistically [that’s not always the case].” For example, he said, “I have an Associate University Librarian right now who’s great... I feel like I’m a mentor to her in some sense, but she really needed someone to provide a level of coaching that I did not have the facility for.” The solution he came to was to hire “her an executive leadership coach.” He added, “Fortunately, my library’s in a position where we can afford to do that, but we went ahead and made that investment.” For Kelsey, this was a crucial part of the way he develops leaders in his library, “making those investments in—whether it’s money or time—in giving people opportunities,” which is what he feels “removes more of the barriers” to successful upward mobility.

Concluding Comments on the Leadership Development of Managers and Lower-Level Administrators

Hence, one of the significant agentive factors that impacts succession planning is which strategy or set of strategies the ULs choose to develop managers in their libraries. When it came to strategies for succession planning that involved a participant-UL’s leadership team members (e.g., department heads and AULs), the approaches ULs chose tended to be more hands-on, and

took the shape of delegating and mentoring. The core tactic many of them selected was to include leadership team members in strategic planning, budgeting, and/or other types of decision-making that would simultaneously develop the organization and its employees.

Allowing the leadership team to understand the thought process behind key decisions provides a model for them to use in shaping their own thinking on similar issues. Thus, several participants stated that their biggest succession planning goal was to make sure that when they left—through retirement or moving to another organization—their direct reports would be able to continue effectively managing the library until a new UL could be hired. The participants used their agency, then, to ensure leadership continuity for a crucial position in the library: the University Librarian position.

Strategies Used for Developing Librarians and Library Staff

The previous section focused on the developmental aspects of succession planning for leadership team members (e.g., department heads, AULs). Here, the focus is on what participant-ULs do to develop the talents of those classified as librarians or members of library staff (i.e., employees not yet in management roles). As discussed in the structure section of this chapter, UC librarians have academic appointments and library staff have professional appointments, and these groups are in different collective bargaining units; however, they face similar restrictions on having management responsibilities added to their job duties because their union contracts expressly prohibit membership by HEERA-defined supervisory employees. With these analogous contractual restrictions in place, many of the participant-ULs approached building the leadership capacity of librarians and library staff in similar ways.

Indeed, when considering options for developing the leadership and management skills of librarians and/or library staff, the approaches the participant-ULs tended to choose were less

hands-on and less involved than with those already in management or administrative roles in the library (e.g., department heads, AULs). The participant-ULs primarily looked to the leadership and/or management development programs offered by the library organizations they hold institutional memberships in, most notably the Association of Research Libraries (ARL), to develop those at the lower end of the library hierarchy. Indeed, Blake stated that she thought, “Libraries have actually done a reasonably good job of providing opportunities for development, and training, and coaching, at least within ARL.”

Professional Development Funding for Leadership Development. More than half of the participants specifically mentioned various ARL development programs—some now defunct—as those they either a) send their librarians to for leadership training or b) had attended themselves as librarians or novice managers and found effective for both training and networking. The second most mentioned option was a library management development program formed in partnership between the Association of College and Research Libraries (ACRL) and Harvard University.

In short, for high potential librarians and library staff, the ULs focused mainly on providing funding for leadership development programs offered by professional associations as their chief succession planning strategies. In most cases, they also indicated librarians and library staff receive mentoring and/or career guidance from their department heads or supervisors.

Illustrating these points, even though he advocated for an informal approach to succession planning, Lane indicated he thought ULs should establish “a good mentoring program, provide the professional development support as much as...[they] can, and sort of create these opportunities for these...potential leaders.” Conversely, Robin had some reservation about how well even an informal approach could work when he said, “I think to truly succession

plan, we need to be thinking not just at the...[department head or] AUL level, which is where I'm mostly concerned, but you also need to think, work leader to...[department head] level;" however, he also noted that those "programs are hard to architect because a lot of our professional development funding...focus is on individual choice at that level."

That said, there are usually additional discretionary funds available to a UL, which could be used to supplement the individual professional development funds. This was the outlook of Reese when she discussed professional development for the purposes of leadership development or succession planning. She thought of individual professional development as a "place where a librarian has their own professional interest and pursues their interest, but if we are trying to help them develop skills for leadership and management, then that's on us [ULs] to provide the resources to pay for it." She went on to say about her leadership team, "We're trying to be as systematic as possible about identifying who's gone to which [leadership development] programs, and being sure to offer [programs] to people who haven't gone to those programs." Likewise, Parker discussed a "multiyear plan of...who in what position is ready to be given the next training opportunity to stretch their skills and hone their skills. And that was a very specific strategy attached with very real dollars." In terms of attaching real dollars to leadership development strategies, Lane noted, "I know for most [UC] campuses, they put a cap on their...dollar support for their professional development opportunities. I think [it's] \$2,000 to \$3,000, right? We don't...we have no cap."

Kelsey spoke about ULs having the ability to use their agency regarding professional development funding to impact both structure and culture in their libraries. Within his own organization, he indicated he would rather reduce his staffing by a position or two in order to prioritize the remaining librarians and "provide them with a bunch more training. That's

structural, in some ways, because our budget is limited.” However, by making that choice, he sets the tone for his library’s culture, making it clear that he is allocating “resources in order to support the things I think are valuable,” which includes “providing generous funding for professional development at all levels” including librarians and library staff.

Kelsey also stressed the importance of providing “people with time to do things on the clock” because so many of “the kinds of development opportunities that we offer people are extracurricular. You have to do them in the evenings and the weekends,” which he felt was a serious equity issue that could marginalize or exclude employees with great leadership potential. He made a point that expecting this work to be done after hours is “not fair to our librarians with children or...elderly parents to take care of.” For him, encouraging leadership development during working hours was a step towards making academic libraries more inclusive of a truly diverse workforce.

Creation of a Matrix Hierarchy for Leadership Development. Another leadership development option discussed by participant-ULs was the creation of a matrix hierarchy for the library. While Quinn explicitly named this type of structure as part of his strategies for building leadership skills, Blake, Lane, Cameron, and Reese described the roles librarians and staff would fill in a matrix structure, though they did not use the matrix label.

In a matrix organizational structure, there can be few (i.e., a flat hierarchy) or many (i.e., a tall hierarchy) management layers between librarians and ULs, but there are dual managerial lines of accountability or responsibility (Stuckenbruck, 1979). Typically, this means that there are functional teams (e.g., collection development team) as well as committees and/or projects (e.g., professional development committee). Each of these teams, committees, or projects would have a lead librarian, giving them opportunities to build leadership skills. Managers may also be

members of these teams, committees, or projects, but may not necessarily serve in a leading role.

Figure 7 provides a graphic illustration of a matrix structure.

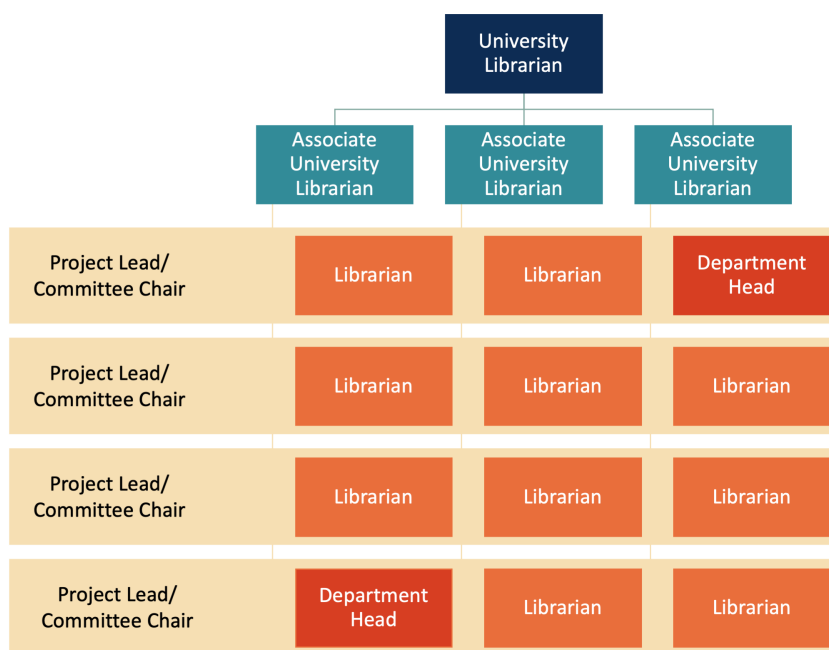


Figure 7. Example of a matrix academic library hierarchy.

Given Quinn’s preference for looking at succession planning as a subset of organizational development, he sees having a matrix structure as helping his library be flexible and adaptive to change. By using this sort of organizational model, “you’ve been exposing people to make sure that people know what others do and know how the different pieces fit together so that they’re not stuck in silos... We consciously, intentionally have a matrix structure here.” In his library, that means that many functions are handled “collaboratively with councils across different areas with a lot of cross-representation.” For instance, the “Cataloging Council will have people from the Public Services Council and the Digital Initiatives Council who sit on it” and, by doing so, “all the different parts of the library know what the other parts are doing, in some sense.”

For Blake, having dual lines of responsibility was more clearly a leadership skill-building tactic. She thought that “we have the ability to create kind of supervisory roles that don’t

supervise people from a personnel perspective” and, thus, don’t run into issues with HEERA or their union contract. So, librarians can be project leads: “They can be coordinators of functions. They can supervise workflow. So, there’s opportunities for AULs and department heads to give people these kind of assignments” and they have “used that quite a bit. It’s not directly related to succession planning. It’s more just continuing to develop people in the areas where they have strengths, and where you have needs.” Aside from interim management assignments, she felt setting up the dual/matrix lines of responsibility was the most effective leadership development strategy she could use on a day-to-day basis in the UC system.

Reese’s thinking followed a similar track: “So, I think one of the things that’s really important is for people to have opportunities to take leadership roles, even if they’re not in a management position.” These opportunities are plentiful in the library, on campus, and in the UC system. Librarians, Reese noted, “can be on a committee in the library or on campus. They can show the ability to lead and follow through. So, I always try to be aware of...who’s interested, who participated in...[a UC systemwide] project.”

Cameron said much the same thing when she stated that her leadership team makes a practice, “just generally, of trying to rotate opportunities for being on search committees, task forces, getting leadership opportunities.” In addition to serving on committees, Lane also mentioned “working on a grant also” could help “provide them with [some of]...the necessary skills to be a future leader.”

Concluding Comments on the Leadership Development of Librarians and Library Staff

For librarians and library staff who are not already HEERA-defined supervisory employees, the participant-ULs focused on two distinct types of strategies to build leadership capacity. First, the focus was on providing professional development funding to attend leadership

or management training, typically offered by library associations such as the ARL. Second, the focus turned to ways to grow leadership skills, which included establishing a matrix organizational structure where the secondary of the dual lines of responsibility did not involve supervising other employees, but rather chairing committees, managing projects, or writing grants. These responsibilities could be assigned at the library level, the campus level, or the UC system level, and could be rotated between librarians and/or staff to make certain everyone interested in that type of career growth was given the opportunity to do so.

Conclusion

What became clear in interviewing the participant-ULs is that both the structure and culture of the UCs significantly impacted the ULs' agency to enact succession planning strategies. Their perspectives varied widely when questioned about which type of constraint was most impactful. Some believed there were minimal structural barriers to succession planning, but, according to Avery, in the culture in which participant-ULs had to operate, including the LIS culture, in general, "it's just not a priority." She added, "So, that's a [cultural] barrier of a kind, I guess."

Conversely, other ULs thought that the bureaucracy inherent in a hierarchy as tall as the UC system meant that there were significant structural barriers to succession planning. Blake was in this group, and the closing dialogue of our interview was about this very issue. Some of this has already been quoted in this chapter, but the full exchange was quite telling, so I am repeating the exchange here, in the conclusion of the chapter:

Blake: I would say the inhibitors are mostly structural, all the aspects that we talked about, the stasis of the University of California. Those are things that are never going to

change. So, every person in my position [for]ever will be constrained by that. That's just the way it is.

Crystal: So, what's the saying? "Culture eats structure for breakfast," or something like that.

Blake: Well, this is structure eating culture for breakfast.

Regardless of whether participant-ULs believed the hindrances to succession planning were cultural or structural, none felt they had full agency to enact all the available strategies which might develop appropriate leadership competencies in their library's employees. Furthermore, although the theoretical trinity of structure, culture, and agency proved to be a useful way of organizing the data generated for this study, and there were numerous emergent themes that could be subsumed under these three foundational themes that demonstrated the relevance of the theoretical framework employed in this study, it was also the case that structure, culture, and agency constantly intersected, interacted, and co-created each other. Additional implications of utilizing the three constructs will be discussed in the following chapter, which takes a more in-depth approach to reporting the results of the data analysis process in this study.

CHAPTER FIVE

ADDITIONAL ANALYSIS

Previous research has explored the lack of preparation for many novice library managers, and how this lack of preparation can lead to a loss of self-confidence and an unwillingness to pursue future leadership assignments. Given that few librarians enter the LIS profession with aspirations of becoming a manager as well as the documented lack of preparation to play managerial roles, would-be managers in libraries may need some encouragement or mentoring from managers and/or administrators to even consider taking on a managerial role and would definitely require adequate preparation to succeed in the position. Hence many in the field have called for better succession planning practices on the part of top-level library administrators (e.g., Deans, Directors, or University Librarians), particularly in light of the retirement waves hitting academic libraries as baby boomers exit the profession.

Unfortunately, there is little empirical evidence indicating when or even if such succession planning takes place in academic libraries, nor is there an understanding of why or how current administrators engage or do not engage in succession planning. This study advances prior research by providing additional information about the behavior and perceptions of top-level library administrators surrounding this crucial issue. Hence, the findings of this dissertation provide empirically based insights about what leadership development and succession planning strategies at least some administrators, i.e., the University Librarians from the 10 campuses of University of California system, are using to prepare librarians for future management roles and what barriers there are to implementing such strategies.

This chapter will present a deeper analysis of the findings generated by this dissertation study. The analysis will be organized around the study's research questions and sub-questions.

Further consideration will then be given to how the themes which surfaced during data analysis intersected with the study's theoretical framework. Finally, the wider implications of these findings for libraries outside of the UC system will be explored.

Addressing the Research Questions

This study was aimed at increasing understanding of academic library succession planning practices, particularly in libraries with one or more middle management layers (i.e., a tall hierarchy) which would allow librarians to be progressively advanced up the organizational hierarchy (i.e., as part of a succession plan) as their skills and abilities grew throughout their career. Ultimately, these individuals would be qualified to serve as a top-level administrator, should they choose to apply for an open position. The research questions for this study were tailored toward uncovering the processes, practices, and perceptions surrounding succession planning in the University of California campus libraries, and I conducted semi-structured interviews with all 10 of the University Librarians in this academic system. The following section will discuss how the data from these interviews address the study's research questions.

Research Question 1: What are the perceptions of UC University Librarians (ULs) regarding the importance of succession planning?

While all of the participant-ULs believed that succession planning was important, and their definition of library succession planning was generally in line with the LIS literature on this topic, there were some key differences in what aspects they emphasized about the succession planning process, which, in turn, impacted how they engaged or did not engage in succession planning. To reiterate, the literature indicates that succession planning takes a deliberate and systematic effort on the part of an organization, with the goals of a) ensuring leadership continuity for critical positions, b) growing and retaining intellectual and knowledge capital, and

c) encouraging individual advancement (Bridgland, 1999; Rothwell, 2005). Furthermore, Singer and Griffith (2010) recommend a three-step process for library succession planning, which includes identifying and assessing talent, creating a formal documented succession plan, and implementing individual development plans (see Figure 1). They also recommend not “playing favorites;” consequently, they suggest creating individual plans for all library employees, not just those presumed to have management potential (Singer & Griffith, 2010).

Engaging in a deliberate, systematic, and documented succession planning effort that was inclusive of the entire organization is something that only one of the ULs engaged in; however, all of the ULs were interested in the main propositions of succession planning, namely leadership continuity, retaining knowledge capital, and supporting individual growth. Indeed, one of the ULs argued that an informal approach to these activities was a better fit with their organization’s academic structure and culture, given that ULs are very rarely involved in selecting their successors and the academy resists the concept of succession planning. Hence, the better option, they believed, was to build up the management and leadership capacity in libraries without the formality of a documented succession plan.

The more informal practices described by the participant-ULs typically restricted discussions of succession planning to AULs and, at times, department heads. Several participants noted an effort to be systematic in tracking professional development opportunities that had been offered to people to provide these opportunities to a wide range of employees. Narrowing the number of people involved in these succession planning conversations might make them more manageable, but it does not allow those lower in the library hierarchy to understand when and how such strategic decision-making takes place.

Indeed, by sidestepping a formal process, ULs also miss the opportunity to have open discussions with all library employees about what kind of leaders the organization and profession need going forward, which might help make meaning of the leader development process while simultaneously allowing those not already in management roles to consider if they can see themselves reflected in that vision of future library leadership. These sorts of discussions might also provide non-managers with an opportunity to give serious thought to whether they want to put themselves forward for management training. Indeed, having open conversations about these topics has the potential to a) set expectations within the library about what inclusive management practice looks like in action, b) avoid the feeling that succession planning is merely “playing favorites,” because everyone got to be involved in the process, and c) allow everyone to reflect on how they would like to develop as a professional, even if it’s not into a management role.

That said, creating a formal succession plan is a time- and labor-intensive process, and ULs may not have the resources available to develop and, especially, to implement such a formal plan. A pointed example is the one UL who engaged in this process, where an entire year of staff time and resources were invested in developing both a strategic and succession plan. Given this time and effort, a library administrator needs to weigh the costs and benefits of developing and implementing a formal succession plan. Doing this is likely to be truly difficult, especially since a) most administrators are not trained to succession plan and b) there are significant constraints, at least in the University of California system, to implementing what would seem to be viable leadership development options. There will be more on this last point below.

Another theme that surfaced surrounding defining and supporting succession planning was the notion of succession planning not for the UL’s organization, but for the profession. Since several of the participants-ULs stated they are unlikely to retire for some time and, even then,

will be unlikely to participate in recruiting their successor, they considered the succession planning activities they engaged in as a professional service which helped build leadership capacity throughout LIS and trained qualified managers or administrators who might serve in other libraries. While many succession plans are aimed at retaining employees with high management potential, most of the ULs pointed out that a management position might not open for many years in their libraries, so retaining those employees would stifle their potential. Thus, viewing succession planning at the profession-wide level allows them to reposition the main goals of a succession plan—in this instance, they aim to both support individual advancement and grow and retain intellectual capital across the entire field. In that light, when an employee moves on to another library to take a manager or administrator position, this demonstrates a successful implementation of the profession-wide succession plan.

This viewpoint largely contradicts the LIS literature surrounding academic library succession planning. It challenges Curran's (2003) claim that libraries can no longer rely on recruiting qualified managerial candidates from other libraries as part of their succession plan by suggesting that top-level library administrators are developing managers with the understanding that it *will* fulfill other libraries' succession plans and further assumes that, if other top-level administrators do the same, there will be a qualified pool of candidates to draw from when an opening occurs. It also challenges the insistence that if library administrators do not put succession plans in place, it will come at great cost to the profession (Bridgland, 1999; Curran, 2003; Webster & Young, 2009; Galbraith, Smith, & Walker, 2012; Hall-Ellis & Grealy, 2013). Indeed, the data would imply that *not* enacting formal succession plans will not impact the profession as deeply as assumed, and that ongoing leadership development and management training may be enough to fulfill the future leadership needs of the profession.

Overall, the data suggests that participants do not generally consider formal succession planning to be of particular importance in their libraries or in the profession. They do, however, consider informal succession planning activities that develop leadership capacity to be very important, again for both the organizational and professional levels. Interviewees understood that the leadership development activities they promoted will not only grow qualified leaders but also that those emergent leaders will potentially leave the organization to pursue leadership opportunities elsewhere. Contrary to what much of the literature says, leaving the organization to assume a library leadership position elsewhere was seen by study participants as an indicator of success.

Research Question 2: What strategies, if any, are these 10 ULs using to succession plan?

While formal succession planning was not a high priority for the majority of participants, they do employ a number of strategies to grow leadership and management competencies in their library employees. Interestingly, several participant-ULs described their own leadership style in conjunction with these developmental strategies. Three specific leadership styles were named—human-centered leadership, self-reflective leadership, and appreciative leadership—which all shared a focus on a) building positive relationships, b) prioritizing emotional intelligence and empathy, and c) centering a professional practice that encourages lifelong learning in leaders. Even those participants who did not name a specific leadership style described approaches with similar underlying philosophies. This centering of lifelong learning appeared to underscore the succession planning strategies enumerated by participants, which is reasonable given that a great deal of leadership development involves ongoing training and mentoring. In detailing their succession planning strategies, though, the participants' development methods appeared to

bifurcate depending on whether someone was already in an administration or management role (e.g., AUL, department head) or not yet in such a role (e.g., librarian, library staff).

For those who held positions as managers or lower-level administrators, the ULs often took a direct approach to growing their leadership competencies. This typically took the form of having them participate in strategic decision-making sessions that informed the informal succession plans for the remainder of the organization. For example, succession planning involves ensuring continuity for critical positions, and several ULs described a process wherein they worked with their leadership team (i.e., a group which included AULs and, at times, department heads) to identify critical positions as well as potential interims or backups in the event of an expected vacancy. In addition, these decision-making sessions would cover overall library budgeting, and also allocating professional development funds for leadership training for librarians and library staff. In this way, the UL could mentor their subordinates on the thought processes involved in such decision-making, providing a model that could be used should they ever step into a UL position, either as an interim if the participant-UL needed to be absent or in a permanent UL position elsewhere. Indeed, several participants measured the success of their mentorship by their level of confidence that, should they ever need to be away for any length of time, their AULs and department heads could capably manage the library in their absence.

For those lower in the library hierarchy, a more indirect approach to leadership development was preferred by the participant-UL and, in some cases, relied on department heads and seasoned librarians to serve in the role of mentor. As mentioned above, the library's leadership team would identify those who could serve as interims or backups for critical positions and make sure that these people were adequately trained to assume those roles, if the need should arise. Several participants mentioned a systematic tracking of who had been sent to

various leadership trainings so they could try to rotate these opportunities to raise the overall leadership capacity in the library. Furthermore, participant-ULs implemented a matrix organizational structure in their libraries to create dual lines of responsibility (see Figure 7), which allows librarians and/or library staff to gain some measure of management experience without supervising other employees, particularly through taking on leadership roles in committees, task forces, workflows, and grants projects. Embedded throughout these development approaches was the expectation that department heads and senior librarians would be mentoring novice librarians moving into these roles for the first time, while also acculturating them to librarianship and counseling them on career goals.

While the strategies participants used to succession plan in their libraries differed by population, there were clearly deliberate and thoughtful efforts being made by each participant to support the professional development of their employees and to ensure that those with interest in gaining leadership training were provided the opportunities to do so. Many participant-ULs were able to provide specific examples of how these strategies have succeeded under their leadership, noting when a particular librarian had been promoted into a department head position within their library or a department head had moved on to become an AUL at another university. They also noted when providing an opportunity—such as an interim department head role—had not resulted in the librarian wanting to apply for the permanent position, but most viewed that as a natural and valuable part of the development process.

Research Question 3: What structural, cultural, and agentic factors, if any, influence these ULs' ability or desire to succession plan?

The findings indicate that there are a number of structural, cultural, and agentic factors that influence the participant-ULs' ability or desire to succession plan. These spanned a full

range from structural elements, such as the organizational bureaucracy and pension program in the UC system, to cultural elements, such as skewed demographics in the profession and a lack of buy-in for the concept of succession planning in the academy, to agentive elements, such as the succession planning and leadership development strategies that ULs choose to implement in their respective libraries.

Research Question 3a: Structurally, what policies or practices are in place, if any, that influence succession planning?

The structures that are required to support an academic enterprise of the University of California system's size and scale became a significant theme during data collection and analysis. The structures that participant-ULs discussed in relation to succession planning included the bureaucracy endemic to a large organization with as tall a hierarchy as the UC system (see Figure 5), the systemwide recruitment policies, the retirement pension program, and employee classifications as they relate to collective bargaining agreements and state law.

Participants pointed out that the UC's bureaucracy made change management difficult because changes to their library's reporting lines or employee's job duties—both of which might help with implementing succession planning strategies—tended to run afoul of existing policies or contracts. Indeed, in organizational change literature, planned change—rather than emergent change—is typically considered more appropriate for highly bureaucratic organizations such as the UCs (Coram & Burnes, 2001; Weick & Quinn, 1999); although, van der Voet (2014) found that both approaches can be effective in this type of organization, but that change typically comes about by “careful reinterpretation and reframing of organizational commitments” rather than a radical alteration in values (van der Voet, Groeneveld & Kuipers, 2014, p. 171). The impact of bureaucratic structure on cultural change was also something touched on by

participant-ULs, noting that change of any kind was a slow and laborious process in the UC system, necessitating extensive consultation with stakeholders both inside and outside the library.

One of the markers of bureaucracy is a proliferation of policies, contracts, and programs to govern the expanding organization and close the gap between the top and bottom of the hierarchy (June, 2017). Several specific policies, contracts, and programs emerged in participant interviews as impactful to UC library succession planning, the first of which is the systemwide recruitment policy, the Personnel Policies for Staff Members (PPSM), which compels competitive recruitments for all open positions on UC campuses unless a waiver of recruitment can be obtained (UCOP, 2020). Participant-ULs made it clear that obtaining such a waiver is becoming increasingly difficult, which makes it challenging to promote internally as part of a succession plan, because the UC system places significant importance on drawing a “broad and diverse pool of qualified candidates to fill vacant positions” and would like to grow employment of underrepresented and marginalized groups (UCOP, 2020, p. 2). In lieu of a recruitment waiver, a UL can limit a job search to internal candidates, which is considered a type of competitive search by PPSM guidelines (UCOP, 2020). An internal candidate can be narrowly or broadly defined. At its narrowest, it would be defined as a candidate currently employed in the library with the open position; at its broadest, it would be defined as anyone currently employed in the UC system (UCOP, 2020). This means that, depending on the scope of the search, a librarian from UC Riverside applying for an AUL position at UC Merced could be considered an internal candidate. Theoretically, this allows for coordinated intercampus succession planning within the system, though discussion of this option did not surface during the semi-structured interviews.

The pension retirement program in the UCs was another structure that several participant-ULs felt negatively impacted their ability to succession plan. The pension program, by design, encourages long-term employee retention because those who have been in the system longer have better benefits than those who are newly hired. Thus, there is little incentive to leave the UC system, since the pension does not transfer outside of California public higher education institutions (i.e., there is reciprocity established between the UC pension program and that of the CSUs and CCCs, but not beyond that.)

The lack of employee turnover means that ULs may not be able to succession plan at all, if there are no employees interested in growing as a leader and moving up the hierarchy. Even if the UL has interested employees and wants to succession plan, the low level of turnover amongst all UC employees, including managers and administrators, means that there may be no leadership positions opening for many years. This low level of turnover can impact early- and mid-career librarians with high management potential, if they choose not to leave the UCs to pursue other management opportunities, as well as foster cultural stasis and greater resistance to change.

Finally, the intersection of two particular structures—union contracts and California state law—was seen as perhaps the most significant barrier to library succession planning by many of the participant-ULs. The state law in question, the Higher Education Employer-Employee Relations Act (HEERA), regulates labor relations between the UC/CSU systems, their employees, and the unions that represent their employees (HEERA, 2013). Library administrators and managers are not represented by a union, but the majority of other library employees—including librarians—are members of several different collective bargaining units, all of which have contracts that refer to HEERA about who is and is not included in the unit.

HEERA-defined supervisory employees are specifically excluded from all of the unions, which limits the ability of ULs to add management activities to unionized employees' job duties to grow their leadership skills. If changing job duties forced a reclassification of an employee—namely, removing them from a union—the UCs would not permit this without a competitive search for the position, per the UC recruitment policy.

The language of HEERA is somewhat ambiguous about what does or does not meet the definition a “supervisory employee,” and, consequently, participant-ULs have some leeway in how they interpret this definition. A strict reading of the language would suggest that librarians cannot supervise other librarians, but a more liberal reading would indicate that, under certain circumstances, librarians are allowed to supervise each other. Most of the current UC libraries do allow a limited amount of this type of supervisory work for librarians, though they are referred to as work leads rather than supervisors. However, this reliance on a UL's legal interpretation makes librarian work leads' positions precarious at best, as the interpretation might get reversed any time there is turnover in the top-level of a UC library's administration.

The impact of HEERA was also a significant factor in my previous study on succession planning in CSU libraries, and the employee classification of librarians in that university system had an even more profound impact than in the current study (Goldman, 2020). The same state law regulates both the CSU and UC systems and, hence, constrains the succession planning strategies of library administrators in both systems, but not to an equal degree. In the CSUs, librarians are faculty, and the California Faculty Association (CFA) collective bargaining agreement explicitly forbids faculty from supervising other faculty (CFA, 2014). HEERA further states that department chairs are not considered supervisory employees (HEERA, 2013). Taken together, HEERA forces a flat hierarchy in CSU libraries, significantly limits the succession

planning strategies available to top-level administrators, and makes attempting a formal succession plan a lesson in futility (Goldman, 2020).

While UC librarians are—like faculty—academic appointees, they are not considered faculty, but, instead, occupy their own discrete employee classification. This distinction allows for significant ambiguity when considering the language of HEERA, which grants top-level administrators in UC libraries more freedom in giving librarians management experience without having to reclassify them as HEERA-defined supervisory employees (HEERA, 2013). In this instance, the same structure—HEERA—when combined with other structures—union contracts—can both constrain and enable the agency of top-level library administrators when enacting succession planning processes (Hays, 1994). Interestingly, both CSU and UC administrators described creating matrix structures in their libraries in order to provide leadership opportunities to employees who might not have supervisory or management duties in their job portfolio (Goldman, 2020).

Structural impacts on library succession planning were a significant theme in this study, most of which were considered barriers to participants' ability to succession plan and/or a deterrent to their desire to engage in succession planning activities. Participant-ULs were able to exercise their agency by creatively interpreting contracts and state laws to allow for greater leadership development in their employees, but this reliance on UL's agency can radically change the leadership duties a librarian would be permitted to take on. Thus, the willingness to allow this work speaks to both organizational need as well as participants' commitment to growing leadership capacity within their libraries.

Research Question 3b: Culturally, what contextual or local dynamics, if any, impact succession planning?

Multiple cultural realms impacted succession planning in UC academic libraries, such as that of academia in general, the UC system, and the LIS profession. For academia, this meant a strong preference for hiring external candidates coupled with a resistance to the concept of succession planning, which is often viewed as “playing favorites.” For the UC system, the recruitment policies mentioned in the preceding section make promoting internally difficult, and the pension program can encourage career-long retention and discourage employee turnover. While low turnover is usually positioned as a positive, in this case, it might cause a cultural stasis that exacerbates a problematic white monoculture in the LIS field. Further, the competencies expected of library leaders are extensive, particularly when the profession has no accepted leadership competencies model. While there was significant overlap in the proficiencies highlighted in both the existing literature and the data gathered during interviews for this study, there were some additional competencies participant-ULs considered crucial to success as a top-level library administrator, which could make an already long list of competencies overwhelming for those considering a move into management.

As mentioned in the literature review, there is a cultural resistance to hiring internally in academia and, as academic libraries are a subset of the larger academic culture, this resistance is also present in library culture. This resistance makes it more difficult for a librarian to move up into a manager or administrator position within their library (Richards, 2016) and relates to what is referred to as *internal-candidate syndrome* (Barden, 2008). This condition represents a convergence of several issues, such as a) institutional isolation making academics uncertain about whether their internal candidates are more-or-less qualified than external candidates, and

b) academics being generally unwilling to embrace succession planning (Barden, 2008). Another aspect of this unwillingness is that academics tend to view succession planning as a form of “intentionality, favoritism, and special treatment... concepts [that] are then perceived to fly in the face of shared governance, academic freedom, and, of course, tradition” (Barden, 2008, para. 13). With a culture that favors the external candidate and resists the very notion of succession planning, the thinking and behavior of participant-ULs related succession planning becomes clearer; specifically, these cultural factors seem to explain—to some extent, at least—why the vast majority of participants favored an informal approach to succession planning: First, approaching succession planning informally might ensure less resistance from library employees and, second, the participant-ULs had all been immersed in academia for decades, meaning they may also have internalized that cultural resistance, making an informal approach more palatable.

Furthermore, it’s important to note that the academic cultural resistance to hiring internally is compounded by the aforementioned UC recruitment policy that requires a competitive search for all open positions and makes it difficult to obtain a waiver of recruitment, which would allow a UL to promote an internal candidate into a management or administrative position without going through a search process. However, during data collection, it became clear that such a position opening in a UC library was relatively rare, anyway, given the pension program that aims at retaining employees for the remainder of their careers. This means if someone is recruited into an AUL or department head position, they may stay in that role until they retire.

Participant-ULs noted several challenges that this sort of longevity causes: first, the low turnover can cause a cultural stasis and resistance to any change to the status quo; second, with no library leadership positions opening, employees with high management potential would have

to move to another library to fulfill that potential, but the pension system rewards remaining in place, which means people stay in place even though a better opportunity might be available outside the UCs.

The low employee turnover in the UC system also means fewer librarian and library staff positions come open than would, perhaps, be considered the norm in other libraries. Given that academic libraries in the U.S. have a population with an overrepresentation of baby boomers, white people, and women, the low turnover means that, even if LIS begins to recruit a more diverse population into its ranks, this change may be slower to impact the library population in the UCs (ALA, 2012).

Indeed, it should be noted that according to succession planning studies conducted in ARL libraries (i.e., including 80% of the UC libraries), little attention is paid to the demographic diversity of librarians who are involved in succession planning (Galbraith, Smith, & Walker, 2012; Hernon, Powell, & Young, 2001; 2002; 2004). While Hernon, Powell, and Young (2001) found that “supporting diversity (people and collections)” was often important for ARL administrators, there was no discussion of what defined or constituted supporting diversity (p. 121). When considering who to include in their 2004 study, Hernon, Powell, and Young stated that the “criteria for selection of the [library] directors were length of service, extent of recognition in the profession, gender, geographic distribution, and type of institution,” making gender the only demographic group that impacted inclusion in the study (p. 539). Overall, the most prevalent demographic indicator mentioned was age, but mostly as it applied to top-level library administrators approaching retirement age (Galbraith, Smith, & Walker, 2012; Hernon, Powell, & Young, 2001, 2002, 2004). Supporting the idea that diversity is not consistently considered in library succession planning—regardless of ARL member status—Kumaran’s

(2015) previously mentioned study of academic library literature surrounding succession planning and BIPOC librarians demonstrated that “visible minority librarians are not proactively found, recruited, [or] retained. They are certainly not being included in succession planning processes” (p. 434).

When further examining both the LIS literature and participant-UL’s responses regarding succession planning and gender, it becomes apparent that women may be at a disadvantage in several ways. First, as one participant-UL pointed out, leadership development opportunities are often expected to be completed outside of working hours, which may exclude people with caretaking responsibilities for children or for disabled or elderly relatives. Multiple sources indicate that the greatest burden for caretaking responsibilities fall on women, making them less able to pursue professional development that takes place during evenings or on weekends (Aguiar & Hurst, 2007; National Alliance for Caregiving, 2020; Schoonbroodt, 2018; Sharma, Chakrabarti, & Grover, 2016). This may be one of the reasons that 80% of academic librarians in the U.S. are women, but only 57% of top-level library administrators are women (ALA, 2012, n.d.). Indeed, Neigel (2015) points out that

Many of the works examining LIS leadership focus on competencies, skills development, and even attitudes toward leading. They fail to acknowledge that merit and skill is not only “historically constructed to privilege men” (Blackmore, 1999, p. 53), but it may also require women interested in leading to perform like men. Feminine traits of caring, collaboration, and emotional attachment are value-laden and do not comfortably align with more rational systems of leadership that embody traits of emotional neutrality and individual careerism. (p. 526)

The LIS literature often draws from the field of business for studies on leadership and management, which focuses on skill development and does not examine the demographic differences that might change the way individuals lead (Neigel, 2015). Heyns, Eldermire, and Howard (2019), for example, looked at how generational differences might influence leadership, looking at baby boomers, Generation X, and millennials, and found conflicting information as to how a librarian's generation (i.e., age) changed or did not change their leadership expectations and preferences.

Alabi (2015) explored another area of demographic difference that impacts librarians' professional experience, pointing out that race and racism are rarely explicitly discussed in the LIS literature. In Alabi's (2015) survey of academic librarians about racial microaggressions, BIPOC librarians noted that people of their race were not often in leadership positions and that racism was prevalent within their organization. White librarians were also far less likely to even notice racial microaggressions during conversational exchanges. This would indicate that LIS would benefit from more information about the role race and racism "may play in deterring people of color from entering into or remaining in academic librarianship," which then "could inform improvements to diversity recruitment and retention efforts" (Alabi, 2015, p. 52).

Without a deeper understanding of these topics, despite the best intentions of top-level library administrators—including this study's participants—it may also be less likely that BIPOC librarians are considered high potential by current (i.e., likely white) library managers *or* that they are developed for future leadership positions as part of a succession plan.

Cultural expectations for library leaders, irrespective of their demographic group(s), in terms of leadership competencies are extensive, to say the least. Between the LIS literature and the participant-ULs, 54 skills and traits were identified as essential to success in the role of

library administrator (see Tables 4-6). Of these, the ones mentioned most often had to do with the ability to connect socially, professional, and emotionally with others, while also knowing how to advocate, manage resources, and manage change. Of those 54 skills and traits, not one mentioned that library leaders should be competent at succession planning, underscoring the idea that proficiency in this area is not seen as crucial in LIS culture.

The cultural impacts on library succession and leadership development are varied and suggest that significant work is needed on the part of scholars and practitioners to understand these impacts and limit or eliminate the influence of those that are detrimental to the profession, such as racism and sexism. Further, as mentioned in the literature review, the field would benefit from an accepted leadership competencies model, which would assist practitioners in the recruitment, retention, and training of future library leaders, while also allowing them to be better prepared to evaluate the qualifications of candidates—both internal and external—for library leadership positions.

Regarding the local cultural influences on succession planning, it's unlikely that a bureaucracy as deep as the UCs will alter their recruitment policies to make succession planning easier, but, perhaps, in this specific case, recruiting externally is not the worst possible scenario. It might increase the diversity in the UC's population of librarians, managers, and administrators. However, it remains to be seen if initiatives aimed at recruiting more BIPOC librarians into the profession are successful in the long term.

Research Question 3c: How do ULs' individual practices, behaviors, or dispositions influence the succession planning process?

The data suggests that participant-ULs have substantial influence over the succession planning processes in their libraries. First, they decide if formal succession planning happens in

their libraries at all and, if not, to what extent their library engages in informal succession planning activities. There are a number of ways in which structure and culture enable or constrain their ability and/or desire to succession plan, and, as Hays (1994) argued, ULs can “creatively choose the cultural values guiding their actions” and can likewise choose how to interpret or navigate certain aspects of structure which might otherwise constrain their agency (p. 60).

While the LIS professional culture doesn’t prioritize succession planning as either a practice in libraries or a competency that leaders are expected to possess, one of the participant-ULs chose to engage in succession planning, despite the lack of value placed on this practice in LIS culture. Instead, the cultural value this UL chose to guide her actions was that of strategic planning and leadership development, which she extended into a formal, documented succession plan. By not making formal succession planning its own process, she minimized the additional time and labor such a process would entail and creatively navigated around the cultural devaluing of succession planning by folding it into process that is valued by the profession: strategic planning.

There were also other ways in which most of the participant-ULs expressed their intention to push back against cultural norms, and this was primarily in the realm of increasing diversity in the library workforce, creating more inclusive working environment in their libraries, and reducing the overwhelming whiteness of librarianship. Many of the participants voiced their support of initiatives in this area, and a few described concrete actions they were taking to increase inclusivity and BIPOC representation within their libraries. The specific actions included making sure that librarians had time during working hours to participate in development opportunities, bringing in consultants to help design a strategic planning process that increased

representation and participation, and hiring a staff member to provide DEI training to current library employees (including the participant-UL) in an effort shift the library culture toward greater inclusivity. The somewhat less concrete strategies included trying to be more mindful of implicit bias in identifying employees with high leadership potential and being more deliberate in developing leadership capacity in BIPOC librarians and library staff, should they be interested. However, assuming not all BIPOC librarians will be interested in leadership or management and noting the low number of BIPOC being recruited into librarianship, there is apparently a rather scant pool of BIPOC librarians to develop. Recruiting more BIPOC into library graduate schools so they can be qualified to serve in a librarian position would be a first step; however, the dominance of whiteness in librarianship might make this a less than attractive option for BIPOC, as noted by Alabi (2015). While this is not a problem the participant-ULs could reasonably be expected to solve on their own, it does make closing the demographic gap in librarianship something that needs a more concerted effort across the profession, including library schools. Individual efforts by top-level library administrators may not be enough to confront the full scope of this issue.

When considering the full height of the UC system organizational structure (see Figure 5), the participant-ULs fall squarely in the middle of the hierarchy. So, while they have significant agency they can exercise in the particular campus libraries they lead, their agency lessens somewhat as they interact with those above them on the organizational chart. Nevertheless, as noted by one participant, the UL position is the only one in the library that one could reasonably expect to be able to interact with anyone above them in the university and system hierarchy, meaning that they have access to those in more powerful positions that others in the library do not enjoy. The point was made that this access was something the participants

could leverage to provide leadership development opportunities to their AULs or department heads. Thus, there are ways that ULs can navigate the structure of the UCs in a way that models these tactics for lower-level administrators and managers, while at the same time implementing another succession planning strategy.

As mentioned above, participant-ULs likewise navigate the structure and bureaucracy of the UC system by deciding how narrowly or broadly to interpret HEERA as it relates to the collective bargaining agreements governing the work assignments of library employees who are not in HEERA-defined supervisory positions. While many participants expressed frustration with the significant structural and cultural barriers that made succession planning difficult, there were also many examples of how and when participants creatively selected the norms, values, and interpretations that governed their actions regarding library succession planning. By using their agency to overcome structural and cultural barriers, all of the participant-ULs have found—at least to some extent—ways to effectively build leadership capacity in their library employees.

Thematic Intersections within the Theoretical Framework

While this study's research questions consider structure, culture, and agency separately, the theoretical framework makes clear that, in the world of practice, these constructs are not discrete. Therefore, some attention must be given to areas of interaction between these sociological constructs. While the findings chapter highlighted these thematic intersections, it also seems useful to sum up how and where the overlaps and interplay were most apparent (see Figure 8).

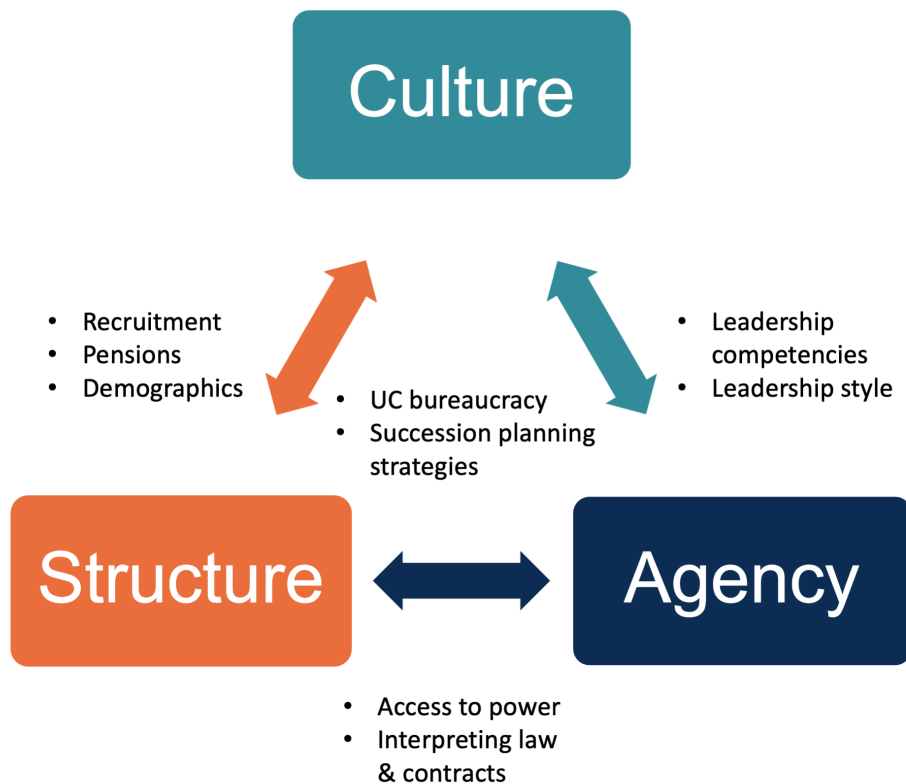


Figure 8. Thematic intersections within the theoretical framework.

Between structure and culture are the demographics that inform the white monoculture of LIS, the UC pension system that encourages long-term employee retention and stagnate cultural change, and the recruitment policies that require competitive searches as a way to add diversity to the UC workforce, which may have an impact as baby boomers begin to retire and newer librarians are hired. Between culture and agency are the leadership competencies that the LIS culture expects of library leaders, as documented in the disciplinary literature, and the leadership styles that participant-ULs choose to convey those competencies to the next generation of library leaders. Between structure and agency are the participant-ULs' access to power within the UC system, which they can use to benefit their employees and grow their leadership skills, and how the ULs choose to interpret state law (i.e., HEERA) and collective bargaining contracts regarding

the issue of whether or not librarians can supervise other librarians as work leads, giving them management experience without having to leave the union.

There were some themes, however, that fell squarely in the middle of structure, culture, and agency and impacted all three. The first of these is the bureaucracy that shapes the UC system, which affected other structural factors, the culture of the campuses and their libraries, and the agency individual ULs had to enact succession plans. Also woven between structure, culture, and agency were the strategies that participant-ULs felt were effective in developing leadership capacity in their library employees within the working environment of the UC system.

Conclusion and Implications Beyond the University of California System

The findings of this study advance existing research on academic library succession planning by deepening understanding of the perceptions and behavior of top-level library administrators regarding the preparation of the next generation of library leaders. While traditional, corporate succession planning—wherein a chief executive participates in selecting their successor—is not feasible in the academic sector for a number of structural and cultural reasons, administrators still take an active role in developing management and leadership capacity in their library employees. The extant literature on this topic would insist that formal succession planning is necessary and libraries cannot rely on recruiting managerial candidates externally, but it is clear that at least some sitting library administrators believe that formal succession planning is neither a necessary nor suitable investment of resources and that, by taking the stance that succession planning is equally aimed at a) improving leadership continuity internally and b) increasing the qualified pool of library leaders for the entire field to draw upon when needed, libraries *can* rely on recruiting managerial candidates externally. However, this strategy is only effective if the vast majority of U.S. library managers and administrators operate

from the same perspective. This should, then, be a larger conversation amongst library managers and administrators to confirm this attitude and approach to succession planning is widespread enough to ensure an appropriate number of future managers are being developed to meet professional needs. The scarcity of literature on this topic might suggest that, if these conversations are happening between LIS practitioners, they are happening informally and, hence, this discussion is not documented as part of the academic discourse.

Moreover, this study has demonstrated the utility of applying the sociological framework of structure, culture, and agency to enhance understanding of social phenomena in the Library and Information Science field. By considering academic library succession planning through this theoretical lens, practitioners and scholars alike can consider the many factors that influence how and why some library administrators approach this crucial issue. Although more research is still needed, and will be discussed in the following chapter, this study can improve understanding of the current situation surrounding academic library succession planning and offer transferable leadership development strategies that current library administrator find effective, which could prove useful to others and better position the profession to prepare a deep pool of qualified future library managers.

CHAPTER SIX

DISCUSSION OF FINDINGS AND CONCLUSIONS

This chapter will conclude the dissertation by summarizing key research findings in relation to a) the research purpose and questions and b) the significance and limitations of the study. It will also discuss opportunities for future research regarding academic library succession planning.

Discussion of Findings

The primary research aim of this study was to advance understanding on how succession planning is perceived and addressed by library administrators, specifically those in the UC system. I conducted semi-structured interviews with all 10 top-level administrators (i.e., the ULs) in this university system in order to examine this issue more closely. The LIS literature provided evidence that succession planning could improve the preparation and retention of library managers; however, significant knowledge gaps persist in understanding how, why, or if succession planning occurs in academic libraries and what, if any, approaches current library administrators are using to succession plan in their libraries.

What the data revealed is that formal succession planning is not necessarily something top-level administrators are trained to conduct, nor does the culture of the LIS profession expect administrators to prioritize succession planning. That said, a number of informal succession planning strategies are being employed by University Librarians in the UC system in order to prepare future managers and administrators. This preparation is something most of the participant-ULs agreed is important to the profession, and which they engage in on a regular basis. They often include succession planning in strategic decision-making discussions by library senior leadership teams—which are often made up of the ULs and their direct reports. In fact,

including the senior leadership team in these discussions is often one of the strategies that ULs use to mentor lower-level administrators who might wish to move into a top-level administrator position in future. For those lower in the library hierarchy—librarians and library staff—ULs typically use strategies that include funding professional development that builds leadership competencies as well as creating a matrix organizational structure that allows librarians and staff to gain leadership experience by chairing committees, managing projects, or writing grants. These informal succession planning strategies could feasibly be applied by managers and administrators in other academic libraries outside of the University of California system who wish to increase the leadership capacity of library employees.

There were, however, several cultural and structural barriers to succession planning that remain endemic to the UC system and, in some cases, the LIS profession. The first, already mentioned in the preceding paragraph, is that succession planning is not expected or prioritized by the professional culture. Of the leadership competencies outlined in the LIS literature and described by the participant-ULs in this study, none named succession planning as a necessary skill for success as a top-level administrator. Furthermore, academic culture, as a whole, resists the concept of succession planning and tends to prefer hiring external rather than internal candidates for open positions. Demographically, the LIS field also struggles with an overwhelmingly white monoculture in dire need of greater diversity, which is unlikely to occur if only internal promotions are used to fill management and administration vacancies.

Structurally, the UC system also has recruitment policies in place which require open, competitive searches for all positions, with very few permissible exceptions. Part of the reason behind these policies is to ensure a diverse workforce for the system. After recruitment, the UCs also have a pension program in place designed to retain employees and which benefits those who

remain in the system long-term, potentially for the remainder of their career. The classification of these employees places them into a number of different collective bargaining units, all of which explicitly refer to a state law that disallows those in academic and staff appointments from becoming supervisory employees, which makes it difficult for these employees to gain management experience. Instead, interpretations and strategies that take advantage of ambiguities in this law are employed to help fill this experiential gap and meet organizational needs, including the use of interim management appointments or work lead assignments for librarians. That said, the major structural element that impacted both the culture of UC libraries and the agency of the individual ULs was the bureaucracy engendered by a university system with a hierarchy as tall as that of the UCs. This looming bureaucracy often resists change and encourages structural and cultural stasis.

Therefore, the research findings do address the purpose of this study. Namely, they can help advance understanding on how succession planning is perceived and addressed by library administrators, especially the top library administrators in the UC system. While preparation of the next generation of library leaders was seen as critical by all of the participants in this study, formal, systematic succession planning was not the tactic most chose for coordinating the development of necessary leadership competencies in their employees. Indeed, most felt that—given the structural and cultural barriers to internal hiring—it was more beneficial to consider leadership development as a service to the LIS field. In short, fostering qualified leaders in their library meant they were expanding the candidate pool for management and administration positions across the profession. Thus, they adopted informal strategies for these purposes, which they believe are effective for growing competent future managers and administrators and suitable to the culture and structures of their working environment.

Limitations and Significance

Limitations

There are a few limitations to this study that need to be articulated here. First, this study dealt with only 10 academic libraries in public higher education institutions within California. Generalizations could be made for the UC system, especially about the thinking and practices of University Librarians in that system, because that entire population became the “sample” for this study. Attempting to make broad generalizations about all academic libraries in public higher education institutions, however, is not possible with this study.

The fact that 100% of the University of California UL population is included in the sample is, indeed, a strength of the study; that said, with so small a population, extra precautions needed to be taken to ensure some level of confidentiality to the participants. Hence, all demographic data other than pronouns were decoupled from the participants, because even the most basic of information would have made it relatively simple to uncover participants’ identities and assign specific quotes to their actual speakers. While I deemed this decoupling necessary, I also acknowledge that this could be considered a limitation to the study. Some readers might have interpreted the findings differently had they had greater access to contextual information about the participant-ULs. In this instance, however, I placed a higher priority on protecting my participants, to the extent possible.

In contemplating other potential limitations, one should not discount the possible unwillingness of the participant-ULs to fully divulge information about their institution or experiences, especially if that information might reflect negatively on them, their library, their institution, or the UC system, as a whole. A lack of “openness has the potential to create an unreliable study” (Klein & Salk, 2013, p. 343). I have no reason to believe that there was a lack-

of-openness problem with this study, but that possibility must always be considered when findings are transferred to other contexts or even used in the contexts in which the findings were generated.

Another potential limitation is that the study included only current academic library administrators, and the perspective of former academic library administrators might have produced more candid responses, particularly if their experiences were negative. That said, responses from former administrators would also be somewhat outdated for the present job market and institutional environment. With a view toward voices that are not included, it should also be noted that interviewing librarians and staff in the participant-ULs' libraries was beyond the scope of this study; however, members of such groups might offer a significantly different perspective from those of their UL.

As previously discussed, I am a member of the UC librarian community. This can be seen as both a limitation and an asset to the study. As a member of this community, I have a stake in the results of good or poor succession planning, given that an underqualified library administrator would impact the productivity and success of the librarians who report to said administrator. Obviously, I am attached to and concerned about the preservation of this librarian community—what Peshkin would refer to as the subjective *Community-Maintenance I* (Peshkin, 1988). And, thus, I would prefer other academic librarians in the UC system to be as productive and successful as possible, a preference that conceivably could skew what I heard and, especially, what I reported. That said, as a UC academic librarian, I also understand this community, have knowledge of the shared traditions and vocabulary of this community, and may have had an easier time accessing potential participants because of my preexisting connections to other librarians in the UC system.

Significance

Given the aforementioned scarcity of literature on the subject of library succession planning—particularly from the perspective of individual library administrators—this study assists in filling that gap in LIS research. There is, however, a larger potential usefulness for this case study/cross-case study than just filling a literature gap. While the traditional understanding of generalization (i.e., drawing broad inferences about a certain population based on a supposedly representative sample subset of that population) would not be applicable in this study, there is some argument for the idea of generalization “rooted in a conception of experiential knowledge,” allowing readers to vicariously experience a different context that might enrich their current thinking about a case study topic (Donmoyer, 1990, p. 186). Hence, understanding what perceptions academic library administrators have and what their behaviors are in regard to succession planning would allow others in the LIS field to reconsider their perceptions and behaviors surrounding this critical issue.

In a slightly different vein, what might be possible with this research is *transferability* rather than *generalizability*, which would allow those who read the findings of this study to decide for themselves if the findings are transferable to their particular context (Shenton, 2004). From that standpoint, this study might specifically be useful to other academic library administrators, giving them insight into transferable strategies that the participant-ULs are utilizing to succession plan.

Hence, this study contributes to both LIS literature and practice, furthering a conversation in the discipline about how and why to develop future library leaders. As stated previously, many librarians accidentally end up in their first managerial role and, if they perceive themselves to be underqualified and struggle to adapt, may retreat from management assignments permanently or

leave their organization entirely (Sim & Lee, 2018; Webster & Young, 2009). The lack of succession planning—formal or informal—may, therefore, have serious and long-lasting repercussions for the recruitment of library managers and the retention of librarians. Thoughtful discussion *and* strategic action about this issue are essential to the future of academic libraries in the United States, and this study's findings may prove useful to both scholars and practitioners alike as they consider how structure, culture, and agency impacts the stakeholders involved in library succession planning.

Future Research

With such a dearth of literature on this topic, there is a clear need for further research, above and beyond this study. Other populations could be approached, such as top-level administrators (e.g., Directors, Deans, or ULs), lower-level administrators (e.g., Assistant Directors, Associate Deans, or AULs), or middle managers (e.g., department heads or subheads) in private academic libraries or public academic libraries without unionized workforces. All of these administrators and managers would potentially influence library succession planning, and offer perspectives significantly different from those presented in this UC study or my previous CSU study on this topic. Additionally, early- and mid-career librarians who might be considering moving into management positions would also be viable populations to consider, given that they would be the likely beneficiaries of succession planning. Taken together, these groups would provide a much fuller view of the perceived value of and the behaviors enacted toward succession planning in the LIS field, as well as the structure, culture, and agency that influence such succession planning efforts.

Additionally, while not a specific focus of this study, an emergent theme was the lack of diversity in the LIS profession, generally, and in library leadership, specifically. Thus, the data

revealed that there is greater practitioner attention being paid to the need to increase diversity in library leadership, but this topic has received scant attention by LIS scholars. What's more, the intersection of DEI research and library succession planning research is scarcely populated—with Kumaran (2015) providing one of the few extant articles on the topic—and could certainly benefit from further study. Understanding the approaches to this topic from the perspective of both scholars and practitioners might expand understanding of the present situation and better position the profession to recruit, train, and retain BIPOC library leaders.

Conclusion

In summary, the data from this study address the purpose of the research as well as the research questions. The study's participants believe that succession planning is important to academic libraries, they employ a number of strategies to develop future library leaders, and there are a number of structural, cultural, and agentive factors that influence the succession planning process. While this dissertation's findings contribute to discussions in the LIS field on the topic of academic library succession planning, there are still a number of areas related to this subject that could benefit from scholarly attention; for instance, library succession planning in different types of academic libraries and with different academic library populations. Moreover, the findings revealed a need for further attention to be given specifically to the issue of diversity in library leadership.

Perhaps the most significant contribution this study makes to the disciplinary discourse is to challenge certain aspects of the LIS literature that insist on the necessity of formal succession planning in academic libraries. The majority of the participants in this study believe that informal succession planning strategies are better suited to the culture of librarianship and the structural barriers inherent in both their specific university system as well as the academy at large. The

participants also offered insights into the leadership competencies they believe are most crucial for success in a top-level library administrator position as well as the succession planning strategies they use to develop those leadership competencies in interested library employees. These strategies may be transferrable to a wide range of academic library contexts and, thus, the findings of this dissertation may prove especially useful to other library managers or administrators.

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APPENDIX A

Sample Invitation-to-Participate Email

Dear (University Librarian),

I am conducting interviews as part of a research study to increase understanding in the Library and Information Science (LIS) field of how succession planning is perceived and enacted by University Librarians (ULs) in the University of California. As a UL, you are in an ideal position to provide valuable first-hand information from your own perspective.

The initial interview would take place via Zoom, would last between 60-90 minutes, and is intended to be fairly informal. I would like to capture your general perceptions regarding succession planning as well as any strategies you might be using to succession plan in your library. While the interview would be recorded, your responses to the questions will be kept confidential. Each interviewee will be assigned a pseudonym to help ensure that personal identifiers are not revealed during the analysis and write-up of findings.

There is no compensation for participating in this study. However, your participation will be a valuable addition to LIS research, and findings could lead to greater understanding of perceptions and behaviors surrounding the issue of succession planning.

If you are willing to participate, please suggest a day and time that is convenient for you and I'll do my best to be available. If you have any questions, please do not hesitate to ask.

Thank you,

Crystal Goldman

APPENDIX B

Semi-Structured Interview Schedule

1. Can you tell me a bit about your career arc and how you came to be the University Librarian (UL) of this library?
2. Reflecting on the work that you do, are there any particular competencies, knowledge, skills, or abilities that you think are crucial for success in the role of UL?
3. How would you identify a librarian who might have the leadership or management potential to eventually become a UL?
4. In general, how important do you think succession planning is in an academic library?
5. In general, what factors support or hinder succession planning in an academic library?
6. Have you employed any specific succession planning strategies during your time as UL?
7. Are there any policies or practices in place in your library or institution that influence your succession planning strategies?
8. In what ways, if any, do you think the culture of your library or institution impacts your ability to succession plan?
9. Is there anything else that you'd like to add?

APPENDIX C

Demographic Survey about Participants and their Librarians

1. What year were you born?
2. How long have you worked in the library field?
3. How long have you been the University Librarian (UL) of your current library?
4. Is this your first UL (or equivalent) position?
 - a. If no, for how many other libraries have you been UL (or equivalent)?
5. How many Associate/Assistant University Librarians (AULs) are employed in your library?
6. How many full-time librarians (i.e., academic appointees in the UC librarian series) are employed in your library?
7. How many of the librarians in your library would be considered middle managers?
8. How many other staff members (i.e., not in the librarian series) in your library would be considered middle managers?
9. Do you also employ part-time or adjunct librarians?
 - a. If so, how many?
10. The majority of your full-time librarians would be considered:
 - a. Early-career
 - b. Mid-career
 - c. Late-career
 - d. Other (please explain): _____

Date: 6-3-2021

IRB #: IRB-2021-358

Title: Academic Library Succession Planning in the University of California (UC) System

Creation Date: 5-19-2021

End Date:

Status: **Approved**

Principal Investigator: Crystal Goldman

Review Board: USD IRB

Sponsor:

Study History

Submission Type	Initial	Review Type	Exempt	Decision	Exempt
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Key Study Contacts

Member	Crystal Goldman	Role	Principal Investigator	Contact	cgoldman@sandiego.edu
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Member	Robert Donmoyer	Role	Primary Contact	Contact	donmoyer@SanDiego.edu
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