

ARL STATISTICS QUESTIONNAIRE, 2006-07

INSTRUCTIONS FOR COMPLETING THE QUESTIONNAIRE

General Instructions

Definitions of statistical categories can be found in NISO Z39.7-2004, *Information Services and Use: Metrics & statistics for libraries and information providers--Data Dictionary* (<http://www.niso.org/emetrics/current/index.html>). ARL has been modifying the interpretation of the standard definitions to address questions posed by the library staff at various member institutions that complete the survey and with feedback from the ARL Statistics and Assessment Committee (<http://www.arl.org/stats/program/meeting.html>).

Please do not use decimals. All figures should be rounded to the nearest whole number.

Please respond to every question. If an exact figure cannot be provided, use NA/UA to indicate that the figure is either unavailable or not applicable. If the appropriate answer is zero or none, use **0**.

Although the form allows for data to be entered from both main and branch campuses, an effort should be made to report figures for the main campus only. (The U.S. National Center for Education Statistics, Integrated Postsecondary Education Data System (IPEDS) defines a **branch institution** as "a campus or site of an educational institution that is not temporary, is located in a community beyond a reasonable commuting distance from its parent institution, and offers organized programs of study, not just courses.") If figures for libraries located at branch campuses are reported, please specify which branch libraries are included and which ones are excluded in the notes below.

A **branch library** is defined as an auxiliary library service outlet with quarters separate from the central library of an institution, which has a basic collection of books and other materials, a regular staffing level, and an established schedule. A branch library is administered either by the central library or (as in the case of some law and medical libraries) through the administrative structure of other units within the university. Departmental study/reading rooms are not included.

The questionnaire assumes a fiscal year ending **June 30, 2007**. If your fiscal year is different, please indicate this in the notes below by adjusting the reporting period.

Footnotes. Explanatory footnotes will be included with the published statistics. Provide any notes you may have in the footnotes area at the end of the survey. Reporting libraries are urged to record there any information that would clarify the figures submitted in that line, e.g., the inclusion and exclusion of branch campus libraries. Please make an effort to word your footnotes in a manner consistent with notes appearing in the published report, so that the ARL Office can interpret your footnotes correctly.

Specific Instructions

Question 1. Volumes in Library. Use the ANSI/NISO Z39.7-2004 definition for **volume** as follows:

*a single physical unit of any printed, typewritten, handwritten, mimeographed, or processed work, distinguished from other units by a separate binding, encasement, portfolio, or other clear distinction, which has been **cataloged, classified, and made ready for use**, and which is typically the unit used to charge circulation transactions. Either a serial volume is bound, or it comprises the serial issues that would be bound together if the library bound all serials.*

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Include duplicates and bound volumes of periodicals. For purposes of this questionnaire, unclassified bound serials arranged in alphabetical order are considered classified. Exclude microforms, maps, nonprint materials, and uncataloged items. If any of these items cannot be excluded, please provide an explanatory footnote

Include government document volumes that are accessible through the library's catalogs regardless of whether they are separately shelved. "Classified" includes documents arranged by Superintendent of Documents, CODOC, or similar numbers. "Cataloged" includes documents for which records are provided by the library or downloaded from other sources into the library's card or online catalogs. Documents should, to the extent possible, be counted as they would if they were in bound volumes (e.g., 12 issues of an annual serial would be one or two volumes). Title and piece counts should not be considered the same as volume counts. If a volume count has not been kept, it may be estimated through sampling a representative group of title records and determining the corresponding number of volumes, then extrapolating to the rest of the collection. As an alternative, an estimate may be made using the following formulae:

52 documents pieces per foot
10 "traditional" volumes per foot
5.2 documents pieces per volume

Include e-book units, as long as these e-books are owned or leased and have been cataloged by your library. Provide a footnote explaining how many e-books you are reporting, preferably by specifying the products and the number of titles in a note.

For information on how to count items housed in remote storage, see the Interim Guidelines for Counting Materials Housed in Library Storage Centers, at <http://www.arl.org/stats/arlstat/storage.html>.

If either formulas or sampling are used for deriving your count, please indicate in a footnote.

Question 1b. Volumes Added. Include only volumes cataloged, classified, and made ready for use. Include government documents if they have been included in the count of volumes on line 1a. Do not include as part of Volumes Added Gross any government documents or other collections (such as large gift collections or e-book packages) that were added to the collection as the result of a one time download or addition to the OPAC. Include these items in Volumes Held of the previous year (Line 1a) and provide a footnote explaining the revision of Line 1a.

Question 2. Monographic Volumes Purchased. Report number of volumes purchased; do not include volumes received or cataloged. Include all volumes for which an expenditure was made during 2006-07, including volumes paid for in advance but not received during the fiscal year. Include monographs in series and continuations. Include e-books that fit the NetLibrary® model, i.e., electronic manifestations of physical entities and/or units; provide a footnote explaining how many e-books you are reporting, preferably by specifying the products and the number of titles. If only number of titles purchased can be reported, please report the data and provide an explanatory footnote.

Question 3: Basis of Volume Count. A physical count is a piece count; a bibliographic count is a catalog record count.

Questions 4-5. Serials. Use the following definition for a serial:

a publication in any medium issued in successive parts bearing numerical or chronological designations and intended to be continued indefinitely. This definition includes periodicals, newspapers, and annuals (reports, yearbooks, etc.); the journals, memoirs, proceedings, transactions, etc. of societies; and numbered monographic series.

Report the total number of unique serial titles, NOT SUBSCRIPTIONS, that you currently acquire. Do not include duplicate counts of serial titles. To the extent possible, report all government document serials even if housed in a separate documents collection. Verify the inclusion or exclusion of document serials in Question 5. Exclude unnumbered monographic and publishers' series. Electronic serials acquired as part of a bundle or an aggregated package, should be counted by title, even if they are not cataloged, as long as they are made accessible by the library.

In the case of consortial agreements, count under 'serial titles currently purchased', those titles for which the library pays any amount from its budgeted expenditures. Include all titles that are part of bundles or aggregated packages, even if your library makes a partial payment for access to those titles. If a purchased title includes electronic access to the title, count that title

Deleted: If you have access to netLibrary titles as a result of participating in various consortia, do not report these e-books as your library's property unless the e-books actually belong to your library. If the books were purchased by a consortium, they may belong to the consortium itself and not to the participating libraries. Report only the number of e-books that belong to your library and are cataloged, classified and made ready for use

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ONLY ONCE (DEDUPED) as electronic only. If a database includes full-text and abstracted titles, the number of full-text titles can be counted.

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If serial titles have been purchased through a consortium whose budget is centrally funded and independent from the library's budget, these serials should be reported under 'serials received and not purchased.'

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Report other titles that your library receives and does not pay for directly under 'serials received and not purchased.'

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Question 4b. Serial titles: Not Purchased. Record those serial titles received without purchase for whatever reason. If within a purchased or aggregated package it cannot be determined that some titles are not purchased, report all titles as purchased.

If separate counts of nonpurchased and purchased serial titles are not available, report only the total number of serial titles currently purchased and received on line 4, and report U/A for lines 4a and 4b.

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Question 6. Microforms. Report the total number of physical units: reels of microfilm, microcards, and microprint and microfiche sheets. Include all government documents in microform; provide a footnote if documents are excluded.

Question 7. Government documents. Report the total number of physical units (pieces) of government documents in paper format that have not been counted elsewhere. Include local, state, national, and international documents; include documents purchased from a commercial source if shelved with separate documents collections and not counted above. Include serials and monographs. To estimate pieces from a measurement of linear feet, use the formula $1 \text{ foot} = 52 \text{ pieces}$ and indicate in a footnote that the count is based on this estimate. Exclude microforms and nonprint formats such as maps or CD-ROMs. Adjust line 1a, i.e., last year's Volumes Held, and provide a footnote if you are adding records to the OPAC for government documents previously held but not counted as part of Volumes Held (line 1a).

Question 8. Computer files. Include the number of pieces of computer-readable disks, tapes, CD-ROMs, and similar machine-readable files comprising data or programs that are locally held as part of the library's collections available to library clients. Examples are U.S. Census data tapes, sample research software, locally-mounted databases, and reference tools on CD-ROM, tape or disk. Exclude bibliographic records used to manage the collection (i.e., the library's own catalog in machine-readable form), library system software, and microcomputer software used only by the library staff.

Question 9. Manuscripts and archives. Include both manuscripts and archives measured in linear feet.

Question 10. Cartographic materials. Include the numbers of pieces of two- and three-dimensional maps and globes. Include satellite and aerial photographs and images.

Question 11. Graphic materials. Include the number of pieces of prints, pictures, photographs, postcards, slides, transparencies, film strips, and the like.

Question 12. Audio materials. Include the number of pieces of audiocassettes, phonodiscs, audio compact discs, reel-to-reel tapes, and other sound recordings.

Question 13. Film and video materials. Include the number of pieces of motion pictures, videocassettes, video laser discs, and similar visual materials.

Questions 14-20. Expenditures. Report all expenditures of funds that come to the library from the regular institutional budget, and from sources such as research grants, special projects, gifts and endowments, and fees for service. (For question 17, include non-library funds; see instruction Q17.) Do not report encumbrances of funds that have not yet been expended. **Canadian libraries should report expenditures in Canadian dollars.** (For your information, if interested in determining figures in U.S. dollars, divide Canadian dollar amounts by 1.1323, the average monthly noon exchange rate published in the Bank of Canada *Review* for the period July 2006-June 2007.) **Please round figures to the nearest dollar.**

Question 15a. Monographs. Report expenditures for volumes purchased counted on line 2.

Question 15b. Serial titles. Report expenditures for serial titles counted on line 4a. Exclude unnumbered monographic and publishers' series, and encumbrances.

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Question 15c. Other library materials. Include expenditures for all materials not reported in Questions 15a and 15b, e.g., backfiles of serials, charts and maps, audiovisual materials, manuscripts, etc. If expenditures for these materials are included in lines 15a and/or 15b and cannot be disaggregated, please report U/A and provide a footnote. Do not include encumbrances.

Question 15d. Miscellaneous expenditures. Include any other **materials funds expenditures** not included in questions 15a-c, e.g., expenditures for bibliographic utilities, literature searching, security devices, memberships for the purposes of publications, etc. Please list categories, with amounts, in a footnote. **Note:** If your library does not use materials funds for non-materials expenditures—i.e., such expenditures are included in “Other Operating Expenditures”— **report 0, not U/A**, on line 15d.

Question 16. Contract Binding. Include only contract expenditures for binding done outside the library. If all binding is done in-house, state this fact and give in-house expenditures in a footnote; do not include personnel expenditures. (This figure should also be reported in the 2006-07 ARL Preservation Survey, question 7b.)

Questions 17. Salaries and wages. Exclude fringe benefits. If professional and support staff salaries cannot be separated, enter U/A, on lines 17a and 17b and enter total staff on line 17.

Question 17c. Salaries and wages: Student Assistants. Report 100% of student wages regardless of budgetary source of funds. Include federal and local funds for work study students.

Question 19. Other operating expenditures. Exclude expenditures for buildings, maintenance, and fringe benefits.

Questions 21-25. Electronic materials expenditures. These items are intended to indicate what portion of your institution’s total library expenditures are dedicated to electronic resources and services. Please use the Footnotes to indicate any electronic materials expenditures you believe not to be covered by these questions. **Many expenditures recorded in these questions should have been included in Question 20, total library expenditures.**

Question 21. One-time electronic resource purchases. Report expenditures that are not current serials (i.e. are non-subscription, one-time, or monographic in nature) for software and machine-readable materials considered part of the collections. Examples include periodical backfiles, literature collections, one-time costs for JSTOR membership, etc. Expenditures reported here may be derived from any of the following categories: Monographs (Q15a), Other Library Materials (Q15c), Miscellaneous (Q15d), or Other Operating Expenditures (Q19).

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Question 22. Ongoing electronic resource purchases. Report subscription expenditures (or those which are expected to be ongoing commitments) for serial publications whose primary format is electronic and for online searches of remote databases such as OCLC FirstSearch, DIALOG, Lexis-Nexis, etc. Examples include paid subscriptions for electronic journals and indexes/abstracts available via the Internet, CD-ROM serials, and annual access fees for resources purchased on a “one-time” basis, such as literature collections, JSTOR membership, etc. Not all items whose expenditures are counted here will be included in Serial titles currently received (Question 4) or Serials Expenditures (Question 15b).

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Q23. Bibliographic Utilities, Networks, and Consortia. Because it is increasingly common for ARL Libraries to enter into consortial arrangements to purchase access to electronic resources, both “Library” and “External” expenditure blanks and instructions are provided. Please use a footnote to describe expenditures that you believe are not covered by the question, or situations that do not seem to fit the instructions.

Q23a. From internal library sources. Report expenditures paid by the Library for services provided by national, regional, and local bibliographic utilities, networks, and consortia, such as OCLC and RLG, unless for user database access and subscriptions, which should be reported in Questions 21 or 22. Include only expenditures that are part of Other Operating Expenditures (Q19).

Q23b. From external sources. If your library receives access to computer files, electronic serials or search services through one or more centrally-funded system or consortial arrangements for which it does not pay fully and/or directly (for example, funding is provided by the state on behalf of all members), enter the amount paid by external bodies on its behalf. If the specific dollar amount is not known, but the total student FTE for the consortium and amount spent for the academic members are known, divide the overall amount spent by your institution’s share of the total student FTE.

Q24. Computer hardware and software. Report expenditures from the library budget for computer hardware and software used to support library operations, whether purchased or leased, mainframe or microcomputer, and whether for staff or

public use. Include expenditures for: maintenance; equipment used to run information service products when those expenditures can be separated from the price of the product; telecommunications infrastructure costs, such as wiring, hubs, routers, etc. Include only expenditures that are part of Other Operating Expenditures (Q19).

Q25. Document Delivery/Interlibrary Loan. Report expenditures for document delivery and interlibrary loan services (both borrowing and lending). Include fees paid for photocopies, costs of telefacsimile transmission, royalties and access fees paid to provide document delivery or interlibrary loan. Include fees paid to bibliographic utilities if the portion paid for interlibrary loan can be separately counted. Include only expenditures that are part of Miscellaneous Materials Expenditures (Q15d) or Other Operating Expenditures (Q19), and only for those ILL/DD programs with data recorded in Questions 34-35.

Questions 26. Personnel. Report the number of staff in filled positions, or positions that are only temporarily vacant. ARL defines temporarily vacant positions as positions that were vacated during the fiscal year for which ARL data were submitted, for which there is a firm intent to refill, and for which there are expenditures for salaries reported on line 17.

Include cost recovery positions and staff hired for special projects and grants, but provide an explanatory footnote indicating the number of such staff. If such staff cannot be included, provide a footnote. To compute full-time equivalents of part-time employees and student assistants, take the total number of hours per week (or year) worked by part-time employees in each category and divide it by the number of hours considered by the reporting library to be a full-time work week (or year).

Round figures to the nearest whole numbers.

Question 26a. Professional Staff. Since the criteria for determining professional status vary among libraries, there is no attempt to define the term "professional." Each library should report those staff members it considers professional, including, when appropriate, staff who are not librarians in the strict sense of the term, for example computer experts, systems analysts, or budget officers.

Question 26c. Student Assistants. Report the total FTE (see instruction Q26) of student assistants employed on an hourly basis whose wages are paid from funds under library control or from a budget other than the library's, including federal work-study programs. Exclude maintenance and custodial staff.

Question 27. Number of staffed library service points. Count the number of staffed public service points in the main library and in all branch libraries reported in this inventory, including reference desks, information desks, circulation, current periodicals, reserve rooms, reprographic services (if staffed as a public facility), etc. Report the number of designated locations, not the number of staff.

Question 28. Number of weekly public service hours. Report an unduplicated count of the total public service hours per typical full-service week (i.e., no holidays or other special accommodations) across both main library and branches using the following method (corresponds to IPEDS): If a library is open from 9:00 a.m. to 5:00 p.m. Monday through Friday, it should report 40 hours per week. If several of its branches are also open during these hours, the figure remains 40 hours per week. Should Branch A also be open one evening from 7:00 p.m. to 9:00 p.m., the total hours during which users can find service somewhere within the system becomes 42 hours per week. If Branch B is open the same hours on the same evening, the count is still 42, but if Branch B is open two hours on another evening, or remains open two hours later, the total is then 44 hours per week. **Exclude 24-hour unstaffed reserve or similar reading rooms.** The maximum total is 168 (i.e., a staffed reading room open 7 days per week, 24 hours per day).

Questions 29-30. Instruction. Sampling based on a typical week may be used to extrapolate TO A FULL YEAR for Questions 29 and 30. Please indicate if responses are based on sampling.

Question 29. Presentations to Groups. Report the total number of sessions during the year of presentations made as part of formal bibliographic instruction programs and through other planned class presentations, orientation sessions, and tours. If the library sponsors multi-session or credit courses that meet several times over the course of a semester, each session should be counted. Presentations to groups may be for either bibliographic instruction, cultural, recreational, or educational purposes. Presentations both on and off the premises should be included as long as they are sponsored by the library. Do not include meetings sponsored by other groups using library meeting rooms. Do not include training for library staff; the purpose of this question is to capture information about the services the library provides for its clientele. Please indicate if the figure is based on sampling.

Question 30. Participants in Group Presentations. Report the total number of participants in the presentations reported on line 29. For multi-session classes with a constant enrollment, count each person only once. Personal, one-to-one

instruction in the use of sources should be counted as reference transactions on line 31. Please indicate if the figure is based on sampling. Use a footnote to describe any special situations.

Question 31. Reference Transactions. Report the total number of reference transactions. A **reference transaction** is

an information contact that involves the knowledge, use, recommendations, interpretation, or instruction in the use of one or more information sources by a member of the library staff. The term includes information and referral service. Information sources include (a) printed and nonprinted material; (b) machine-readable databases (including computer-assisted instruction); (c) the library's own catalogs and other holdings records; (d) other libraries and institutions through communication or referral; and (e) persons both inside and outside the library. When a staff member uses information gained from previous use of information sources to answer a question, the transaction is reported as a reference transaction even if the source is not consulted again.

If a contact includes both reference and directional services, it should be reported as one reference transaction. Duration should not be an element in determining whether a transaction is a reference transaction. Sampling based on a typical week may be used to extrapolate TO A FULL YEAR for Question 31. Please indicate if the figure is based on sampling.

EXCLUDE SIMPLE DIRECTIONAL QUESTIONS. A directional transaction is an information contact that facilitates the logistical use of the library and that does not involve the knowledge, use, recommendations, interpretation, or instruction in the use of any information sources other than those that describe the library, such as schedules, floor plans, and handbooks.

Questions 32-33. Circulation. For Question 32, count the number of initial circulations during the fiscal year from the general collection for use usually (although not always) outside the library. Do not count renewals. Include circulations to and from remote storage facilities for library users (i.e., do not include transactions reflecting transfers or stages of technical processing). Count the total number of items lent, not the number of borrowers. For Question 33, report total circulation for the fiscal year including initial transactions reported on line 32 and renewal transactions. Exclude reserve circulations; these are no longer reported.

Questions 34-35. Interlibrary Loans. Report the number of requests for material (both returnables and non-returnables) provided to other libraries on line 34 and the number of filled requests received from other libraries or providers on line 35. On both lines, include originals, photocopies, and materials sent by telefacsimile or other forms of electronic transmission. Include patron-initiated transactions. Exclude requests for materials locally owned and available on the shelves or electronically. Do not include transactions between libraries covered by this questionnaire.

Questions 36. Ph.D. Degrees. Report the number awarded during the 2005-06 fiscal year. Please note that only the number of Ph.D. degrees are to be counted. Statistics on all other advanced degrees (e.g., D.Ed., D.P.A., M.D., J.D.) should not be reported in this survey. If you are unable to provide a figure for Ph.D.s only, please add a footnote.

Question 37. Ph.D. Fields. For the purposes of this report, Ph.D. fields are defined as the specific discipline specialties enumerated in the U.S. Department of Education's Integrated Postsecondary Education Data System (IPEDS) "Completions" Survey. Although the IPEDS form requests figures for all doctoral degrees, only fields in which Ph.D.s are awarded should be reported on the ARL questionnaire. Any exceptions should be footnoted.

Question 38. Instructional Faculty. Instructional faculty are defined by the U.S. Dept. of Education as

members of the instruction/research staff who are employed full-time as defined by the institution, including faculty with released time for research and faculty on sabbatical leave.

Full-time counts generally exclude faculty who are employed to teach fewer than two semesters, three quarters, two trimesters, or two four-month sessions; replacements for faculty on sabbatical leave or leave without pay; faculty for preclinical and clinical medicine; faculty who are donating their services; faculty who are members of military organizations and paid on a different pay scale from civilian employees; academic officers, whose primary duties are administrative; and graduate students who assist in the instruction of courses. Please be sure the number reported, and the basis for counting, are

consistent with those for 2005-06 (unless in previous years faculty were counted who should have been excluded according to the above definition). Please footnote any discrepancies.

Questions 39-42. Enrollment. U.S. libraries should use the Fall 2006 enrollment figures reported to the Department of Education on the Integrated Postsecondary Education Data System survey. Please check these figures against the enrollment figures reported to ARL last year to ensure consistency and accuracy. **Note:** In the past, the number of part-time students reported was FTE; the number now reported to IPEDS is a head count of part-time students. Canadian libraries should note that the category "graduate students" as reported here includes all post-baccalaureate students.

FOOTNOTES

Please consult the printed copy of the *ARL Statistics 2005-06* for a copy of last year's footnotes. A pdf version is available at: <http://www.arl.org/stats/arlstat/>. Explanatory footnotes will be included with the published statistics. Reporting libraries are urged to record in the footnote section any information that would clarify the figures submitted, e.g., the inclusion and exclusion of branch campus libraries (see the "General Instructions" for definition of branch campus libraries). Please make an effort to word your footnotes in a manner consistent with notes appearing in the published report, so that the ARL Office can interpret your footnotes correctly.

Submit the completed questionnaire
by **January 30, 2008.**

For assistance, please e-mail Martha Kyrillidou (martha@arl.org) or Mark Young (stats-ra@arl.org)
Tel. (202) 296-2296.

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are owned and have been cataloged by your library. If you have access to netLibrary titles as a result of participating in various consortia, **do not** report these e-books as your library's property unless the e-books actually belong to your library. If the books were purchased by a consortium, they may belong to the consortium itself and not to the participating libraries. Report only the number of e-books that belong to your library and are cataloged, classified and made ready for use. Provide a footnote explaining how many e-books you are reporting, preferably by specifying the products and the number of titles in a note.

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(e.g., Project MUSE, BioOne, ScienceDirect)

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A **serial** is

a publication in any medium issued in successive parts bearing numerical or chronological designations and intended to be continued indefinitely. This definition includes periodicals, newspapers, and annuals (reports, yearbooks, etc.); the journals, memoirs, proceedings, transactions, etc. of societies; and numbered monographic series.

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reported under Q15b (expenditures for serials)

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subscription twice: once for the print version and once for the