

# ARL STATISTICS QUESTIONNAIRE 2011–2012

## INSTRUCTIONS FOR COMPLETING THE QUESTIONNAIRE

<http://www.arlstatistics.org/>

GENERAL OVERVIEW: 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/>). ARL has augmented some of the language used here to clarify issues of emerging importance to the community based on advice from the ARL Statistics and Assessment Committee (<http://www.arl.org/stats/aboutstats/index.shtml>).

- 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 at the data entry form level, leave it blank. The Primary Contact should carefully review the totals for each question; and if they are not representative of the overall institution, the Primary Contact can mark the question NA/UA at the publication level screen.

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 FOOTNOTES section of the ARL Statistics Worksheet.

- 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, 2012. If your fiscal year is different, please indicate this in the FOOTNOTES section of the ARL Statistics Worksheet 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. Please use a concise sentence/paragraph format when writing footnotes—do not use “bullets” or make a “bullet list.”

ARL libraries are distinguished by the breadth and quality of their collections and services. They are also recognized for their distinctive contributions to the aggregate of research resources in North America, in a variety of media. As such, research library collections are key assets for individual institutions and for the nation. Through individual and cooperative efforts, research libraries strive to preserve the record of knowledge in ARL collections into the future. With the move from print to digital, libraries are providing stewardship not only by the amount of local investments but also by the depth of their collaborations in establishing and supporting shared collections.

The goal of capturing information on content indicators like 'titles' for the purposes of the ARL Statistics annual data collection is tied to the mission of ARL in that it tries to provide good yet practical-to-collect indicators for the rich scholarly resources ARL member libraries make available.

TITLES AND VOLUMES:
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Question 1. Titles Held. Report all the instances of titles managed and maintained by the library including cataloged, locally digitized, and licensed resources. Counting the 245 field when the library provides stewardship for those resources may be sufficient.

The ANSI/NISO Z39.7-2004 definition for title is as follows:

The designation of a separate bibliographic whole, whether issued in one or several volumes .... Titles are defined according to the Anglo-American Cataloging Rules. A book or serial title may be distinguished from other such titles by its unique International Standard Book Number (ISBN) or International Standard Serial Number (ISSN). This definition applies equally to print, audiovisual, and other library materials. For unpublished works, the term is used to designate a manuscript collection or an archival record series. Two subscriptions to Science magazine, for example, are counted as one title. When vertical file materials are counted, a file folder is considered a title.

Report the total number of titles catalogued and made ready for use. Consider a title to be the title of a distinct bibliographic manifestation, usually represented by its own bibliographic description or record in the catalog. Count multiple copies of the same manifestation as one title. If the library owns or has access to identical content in different formats, count each format as a different title. For example, a serial title available in print, microform and online would be counted as three titles. Count different editions and versions of the same work as separate titles since they denote depth in the collection.

Do not report here titles for which your library is not providing sustained stewardship and maintenance.

Include special collections materials, government documents, serials and monographs; microforms, computer files, manuscripts and archives, audiovisual materials (cartographic, graphic, audio, film and video, etc.). Special collection materials in particular constitute resources of national/international distinction and the breadth and depth of these resources is a key indicator tied to the mission of research libraries.

Include all materials where financial contribution has been made even if partial.

Include gifts.

If your library digitizes content from its own collection and the content is accessible under current copyright law you can report it. Do not count HathiTrust, CRL, Internet Archive, etc. unless your library owns the digitized item and it is accessible under current copyright law.

For demand driven acquisition report titles only after they are purchased. If a library does not provide access to a title, do not report it.

**NOTE:** Titles held is not related to the items reported under Volumes held defined prior to 2011–12.

**Question 2.** 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.

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. Include electronic books purchased through vendors such as NetLibrary® or Books 24x7, and e-books that come as part of aggregate services. Include individual titles of e-book sets that are treated as individual reference sources. Include locally digitized electronic books and electronic theses and dissertations. Provide a footnote reporting the products and the number of titles in a note.

Include volumes purchased collectively where the cost is shared at the time of purchase.

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

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

**Question 4. E-books.** Report the number of electronic books held. Include electronic theses and dissertations. This number is a subset of Volumes Held reported in Q2.

EXPENDITURES
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**Questions 6–12.** 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 **Salaries and wages** include non-library funds; see specific instructions below). 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 1.0037, the average monthly noon exchange rate published in the Bank of Canada Review for the period July 2011–June 2012). Please round figures to the nearest dollar.

Report figures for the following categories of expenditures:

**Question 7. Total Library Materials Expenditures.**

**Question 7a. One time library materials expenditures.** Report expenditures for all library materials that are non-subscription, one-time, or monographic in nature; include expenditures for software and machine-readable materials considered part of the collections. Examples include periodical backfiles, literature collections, one-time costs for JSTOR membership, etc.

**Question 7b.** Ongoing library materials expenditures. Report subscription expenditures (or those which are expected to be ongoing commitments) for serial and other publications; include online searches of remote databases such as OCLC FirstSearch<sup>®</sup>, DIALOG<sup>®</sup>, Lexis-Nexis<sup>®</sup>, etc. Examples include paid subscriptions for print and 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.

**Question 7c. Collection support.** Include miscellaneous expenditures as well as document delivery/interlibrary loan. Include materials funds expenditures not included in questions (7a)–(7b), 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., if those expenditures are included in “Other Operating Expenditures”—report 0. Include all Contract Binding expenditures – that is 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 in this question. Some computer hardware and software expenditures may be reported here if they are expended from collection funds.

**Question 8.** Salaries and wages. Exclude fringe benefits. If professional, support staff and student salaries cannot be separated, check the Manual Override box and enter the total.

**Question 8c.** 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 9.** Other operating expenditures. Exclude expenditures for buildings, maintenance, and fringe benefits. Include computer hardware and software.

**Question 10. Fringe Benefits.** Include here the dollar amount of fringe benefits. If fringe benefits are not paid from the library budget please provide an estimate. Use the institution's official designated percent for your estimation. For example, if the library budget for salaries and wages is \$2,000,000 and the official designated percent is 30%, multiply  $\$2,000,000 \times .30 = \$600,000$  and report the estimated amount of \$600,000. As another example, if the official designated percent is 30% for professional staff and 20% for support staff, estimate the dollar amount by multiplying the salaries for professional staff and the salaries for professional staff with the appropriate percent and sum the totals.

**Question 11. Official designated percent.** Please report here the official designated percent for fringe benefits for the institution. If the official designated percent is 30% for one type of employee and 20% for another type, report here the designated percent for professional library staff. Please provide explanatory footnotes as needed.

**Question 12. Consortia/Networks/Bibliographic Utilities Expenditures from External Sources.** If the 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 the institution's share of the total student FTE.

PERSONNEL AND PUBLIC SERVICES
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**Questions 13–13c.** Personnel. Report the number of FTE (full-time equivalent) 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 in the *Expenditures* section.

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.

Exclude maintenance and custodial staff.

Report figures for the following groups of personnel:

**Question 13a.** 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 13b.** Support Staff. Report the total FTE (see *Personnel*, above) of staff are not included in *Professional Staff*.

**Question 13c.** Student Assistants. Report the total FTE (see *Personnel*, above) 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.

**Questions 14–15.** Instruction. Sampling based on a typical week may be used to extrapolate TO A FULL YEAR. Please indicate if responses are based on sampling.

Report figures for the following:

**Question 14.** 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 15.** Participants in Group Presentations. Report the total number of attendees in all group presentations (as defined in *Presentations to Groups*, above). For multi-session classes with a constant enrollment, count each person only once. Please indicate if the figure is based on sampling. Use a footnote to describe any special situations.

**NOTE:** Personal, one-to-one instruction in the use of sources should be counted as reference transactions as described in the next section.

**Question 16.** 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 [or creation 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 materials; (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. [*Note: this is a modified ANSI/NISO Z39.7-2004 definition for an information request*]

If a contact includes both reference and directional services, it should be reported as one reference transaction. Include virtual reference transactions (e.g., e-mail, WWW form, chat). 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. 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 or creation of information sources other than those that describe the library, such as schedules, floor plans, and handbooks.

**Question 17. Initial circulations (excluding reserves).** 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.

**Questions 18–20. Use of Electronic Resources.** Items reported should follow definitions as defined in the COUNTER Code of Practice ([www.projectcounter.org](http://www.projectcounter.org)). In a footnote, please include the types of resources for which you are reporting data. It is recommend that ONLY data that follow the COUNTER definitions be reported. Any exceptions should be documented in a footnote.

**Questions 21–22. Interlibrary Loans.** Report **the number of requests for material** (both returnables and non-returnables) **provided to other libraries** and **the number of filled requests received from other libraries or providers**. For both of these figures, include originals, photocopies, and materials sent by fax 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.

UNIVERSITY CHARACTERISTICS
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**Question 23. Doctor's Degrees.** Report the number awarded during the 2011–12 fiscal year. For the purposes of this report, Doctor's degrees include research/scholarship degrees and professional practice degrees (e.g., Ph.D, D.Ed., D.P.A., M.D., J.D., etc.) as enumerated in the U.S. Department of Education's Integrated Postsecondary Education Data System (IPEDS). Any exceptions should be footnoted.

**Question 24. Doctor's Degrees Fields.** For the purposes of this report, Doctor's degrees 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. Any exceptions should be footnoted.

**Question 25. 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 2010–11 (unless in previous years faculty were counted who should have been excluded according to the above definition). Please footnote any discrepancies.

**Questions 26–29.** Enrollment. U.S. libraries should use the Fall 2011 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
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Please consult the data entry Web interface ([www.arlstatistics.org](http://www.arlstatistics.org)) for a copy of last year’s footnotes. These can be found under “Data Repository” after you login into [www.arlstatistics.org](http://www.arlstatistics.org). 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.

NOTE: Any large shifts in reported data compared to last year should be explained with a footnote.

Submit the completed questionnaire  
By October 15, 2012

For assistance, please e-mail or Google chat: [stats@arl.org](mailto:stats@arl.org)  
Tel. (202) 296-2296; FAX (202) 872-0884