ARL STATISTICS QUESTIONNAIRE, 2000-01

INSTRUCTIONS FOR COMPLETING THE QUESTIONNAIRE

General Instructions

Please enter your data on the ARL Statistics Website (access via <http://www.arl.org/stats/coordinator.html>) and provide a paper copy to use for data verification.

Definitions of the statistical categories used in this questionnaire can be found in **Library Statistics, ANSI/NISO Z39.7-1995.** (Bethesda, MD: NISO Press, 1997.) Also, see: <http://www.techstreet.com/cgi-bin/pdf/free/152592/z39-7.pdf> **ANSI/NISO Z39.7-1995** does not address issues related to electronic resources. ARL has gradually modified the interpretation of the standard definitions to accommodate electronic resources based on conventions described in the **ARL Statistics Q&A** at <http://www.arl.org/stats/arlstat/arlstatqa.html>. These conventions have been established through discussions within the ARL Statistics and Measurement Committee and with the ARL Survey Coordinators who fill in these surveys on an annual basis. For example, for definitions relating to electronic serials, see a discussion document prepared by Julia Blixrud <http://www.arl.org/stats/counting.html>.

The questionnaire assumes a fiscal year ending June 30, 2001. If your fiscal year is different, please provide a footnote in the “Footnotes” section of the questionnaire.

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

Please do not leave any lines blank. If an exact figure is unavailable, use -1, i.e., “U/A.” If the appropriate answer is zero or none, use 0. For non-university libraries, if a question is not applicable to your library, use -2, i.e., “N/A.” (Academic libraries should never use -2.)

In a university that includes 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 provide an explanation in the “Footnotes” section of the questionnaire.

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.

Specific Instructions

Questions 1-4. Volumes in Library. Use the ANSI/NISO Z39.7-1995 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.

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 in the “Footnotes” section of the questionnaire.
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:

\[
\begin{align*}
52 \text{ documents pieces per foot} \\
10 \text{ “traditional” volumes per foot} \\
5.2 \text{ documents pieces per volume}
\end{align*}
\]

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

**Question 2. 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) 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 4. Monographic Volumes Purchased.** Report number of volumes purchased. Include all volumes for which an expenditure was made during 2000-01, including volumes paid for in advance but not received during the fiscal year. Include monographs in series and continuations. If only number of titles purchased can be reported, please report the data and provide an explanatory footnote in the “Footnotes” section of the questionnaire. Note: This question is concerned with volumes purchased rather than volumes received or cataloged. Question 16 requests the expenditure for the volumes counted here.

**Questions 5-7. Serials.** Report the total number of subscriptions, not titles. Include duplicate subscriptions and, to the extent possible, all government document serials even if housed in a separate documents collection. Verify the inclusion or exclusion of document serials in Question 48 of the questionnaire. Exclude unnumbered monographic and publishers’ series. Electronic serials acquired as part of an aggregated package (e.g., Project MUSE, Academic IDEAL) should be counted by title. A serial is

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

**Question 6. Serials: Not Purchased.** If separate counts of nonpurchased and purchased serials are not available, report only the total number of current serials received on line 7, and report -1, i.e., “U/A,” for lines 5 and 6.

**Question 8. 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 in the “Footnotes” section of the questionnaire if documents are excluded.

**Question 9. 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 foot = 52 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 10. 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 11. Manuscripts and archives.** Include both manuscripts and archives measured in linear feet.

**Question 12. Cartographic materials.** Include the numbers of pieces of two- and three-dimensional maps and globes. Include satellite and aerial photographs and images.

**Question 13. Graphic materials.** Include the number of pieces of prints, pictures, photographs, postcards, slides, transparencies, film strips, and the like.

**Question 14. Audio materials.** Include the number of pieces of audio cassettes, phonodiscs, audio compact discs, reel-to-reel tapes, and other sound recordings.

**Question 15. Film and video materials.** Include the number of pieces of motion pictures, video cassettes, video laser discs, and similar visual materials.

**Question 16-27. 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 25 include non-library funds; see instruction Q24-25.) Do not report encumbrances of funds that have not yet been expended. **Canadian libraries should report expenditures in Canadian dollars.** (To determine figures in U.S. dollars, divide Canadian dollar amounts by 1.51919, the average monthly noon exchange rate published in the Bank of Canada Review for the period July 2000-June 2001.) Please round figures to the nearest dollar.


**Question 18. Other library materials.** Include expenditures for all materials not reported in Questions 16 and 17, e.g., backfiles of serials, charts and maps, audiovisual materials, manuscripts, etc. If expenditures for these materials are included in lines 16 and/or 17 and cannot be disaggregated, please report -1, i.e., “U/A,” and provide a footnote in the “Footnotes” section of the questionnaire. Do not include encumbrances.

**Question 19. Miscellaneous expenditures.** Include any other **materials funds expenditures** not included in questions 16-18, 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 in the “Footnotes” section of the questionnaire. **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 -1, i.e., “U/A,”** on line 19.

**Question 21. 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 in the “Footnotes” section of the questionnaire; do not include personnel expenditures. (This figure should also be reported in the 2000-01 ARL Preservation Survey, question 7b.)

**Questions 22-25. Salaries and wages.** Exclude fringe benefits. If professional and support staff salaries cannot be separated, enter -1, i.e., “U/A,” on lines 22 and 23 and enter total staff on line 25.

**Questions 24-25. 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 26. Other operating expenditures.** Exclude expenditures for buildings, maintenance, and fringe benefits.

**Questions 28-31. 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 lines 22-25.
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 in the “Footnotes” section of the questionnaire. 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 28. 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 30. Student Assistants.** Report the total FTE (see instruction Q28-31) 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.

**Questions 32-33. Instruction.** Sampling based on a typical week may be used to extrapolate TO A FULL YEAR for Questions 32 and 33. Please indicate if responses are based on sampling.

**Question 32. 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. Please indicate if the figure is based on sampling.

**Question 33. Participants in Group Presentations.** Report the total number of participants in the presentations reported on line 32. 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 34. Please indicate if the figure is based on sampling. Use the “Footnotes” section to describe any special situations.

**Question 34. 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 34.** 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 35-36. Circulation.** For Question 35, 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 36, report total circulation for the fiscal year including initial transactions reported on line 35 and renewal transactions.

Exclude reserve circulations; these are no longer reported. **NOTE:** Based on recommendation from the ARL Statistics and Measurement Committee, the question on reserve circulations was removed this year.
Questions 37-38. Interlibrary Loans. Report the number of requests for material (both returnables and non-returnables) provided to other libraries on line 37 and the number of filled requests for material received from libraries or other providers on line 38. On both lines, include originals, photocopies, and materials sent by telefacsimile or other forms of electronic transmission. Include patron-initiated transactions. Do not include transactions between libraries covered by this questionnaire.

Questions 39-40. Ph.D. Degrees. Report the number awarded during the 2000-01 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 in the “Footnotes” section of the questionnaire.

Question 40. 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 in the “Footnotes” section of the questionnaire.

Question 41. Instructional Faculty. Instructional faculty are defined by the U.S. Dept. of Education as

those 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 1998-99 (unless in previous years faculty were counted who should have been excluded according to the above definition). Please footnote any discrepancies.

Questions 42-45. Enrollment. U.S. libraries should use the Fall 2000 enrollment figures reported to the Department of Education on the form entitled “Integrated Postsecondary Education Data System, Fall Enrollment 2000.” The line and column numbers on the IPEDS form for each category are noted on the questionnaire. 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.

Question 46: Basis of Volume Count. A physical count is a piece count; a bibliographic count is a catalog record count.

Question 53. Footnotes. 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 of branch campus libraries (see paragraph six of the "General Instructions" for definition of branch campus libraries). For the first time, the footnotes from the previous year will be presented in the web form. Please update, delete, or leave them unchanged if they remain valid. Note that the number in parentheses refers to the appropriate column on the Library Data Tables in the published ARL Statistics, as well as to the corresponding line number on the questionnaire. 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 on the web
<http://lrc.lis.uiuc.edu/ARL/survey.cgi/>

Please contact Mark Young at (202) 296-2296 or stats-ra@arl.org for assistance.