

May 16, 2007

TO: ARL Statistics and Assessment Committee

David Carlson (Southern Illinois Carbondale) 2006-2007
Joanne Eustis (Case Western Reserve) 2006-2007
Chris Filstrup (Stony Brook, SUNY) 2007-2009
Brinley Franklin (Connecticut) 2006-2008 (ARL Board Liaison)
Ruth Jackson (California, Riverside) 2007-2009
Judith Nadler (Chicago) 2006-2007
Louis A. Pitschmann (Alabama) 2007-2009
Bill Potter (Georgia) 2006-2008
Paul Wiens (Queen's) 2006-2008
Sandra Yee (Wayne State) 2006-2007

FROM:

Colleen Cook, Chair, Texas A&M University
Martha Kyriallidou, Director of Statistics and Service Quality Programs, ARL

Enclosed are the agenda and supporting documents for the ARL Statistics and Assessment Committee meeting that will take place from 8:00 a.m. to 10:00 a.m. on Wednesday, May 23, 2007, in the Plaza Room of the Chase Park Plaza Hotel, St. Louis, Missouri.

The meeting will focus on reviewing the activities for the program and the ongoing projects, and the status of the qualitative and quantitative inquiry currently underway that furthers the ARL Board approved recommendations forwarded by the Task Force on New Ways of Measuring Collections.

The committee chair, Colleen Cook, will also meet with the Steering Committee chairs and the chair of the Membership Committee to ensure that the Statistics and Assessment programmatic activities continue to serve the needs of ARL's strategic directions. Brinley Franklin is also serving as an ARL Board member liaison to the Statistics and Assessment Committee.

We look forward to working with you in continuing to build the strong agenda of the Statistics and Assessment Committee in charting future directions that support ARL's strategic directions. We look forward to a productive meeting and your continuing engagement, input, direction and support.

**150th ARL Membership Meeting
ARL Statistics and Assessment
Wednesday, May 23, 2007
8:00 a.m. – 10:00 a.m.
Plaza Room
Chase Park Plaza Hotel
St. Louis, Missouri**

AGENDA

Welcome and introductions

- (a) Approval of Minutes from the 149th ARL Membership Meeting, ARL Statistics and Assessment Committee

Attachment a: Minutes from the 149th ARL Membership Meeting, ARL Statistics and Assessment Committee

- (b) ARL Board approved Task Force on New Ways of Measuring Collections Recommendations

Attachment b1: New Ways of Measuring Collections: An Action Agenda Adopted February 2007

Attachment b2: Expenditures-focused index and its relation to the ARL membership index

Attachment b3: Areas for building a profile of research library characteristics

Attachment b4: ARL Statistics 2006-07: revised serials section

Attachment b5: ARL Statistics 2006-07 serials instructions revised

- (c) Update on the status of current projects

Attachment c1: Statistics and Measurement Activities, May 2006

- (d) Other topics members would like to discuss

**149th ARL Membership Meeting
ARL Statistics and Assessment
Wednesday, October 18, 2006
8:00 a.m. – 10:00 a.m.
Georgetown II Room
Washington Marriott Hotel, Washington DC**

MINUTES

ARL Statistics and Assessment Committee Members

David Carlson (Southern Illinois Carbondale) 2006-2007
Joanne Eustis (Case Western Reserve) 2006-2007
Brinley Franklin (Connecticut) 2006-2008
Judith Nadler (Chicago) 2006-2007
Randy Olsen (Brigham Young) 2006
Diane Perushek (Hawaii at Manoa) 2006-2008
Bill Potter (Georgia) 2006-2008
Paul Wiens (Queen's) 2006-2008
Sandra Yee (Wayne State) 2006-2007

Guests

Sarah Pritchard, Diane Rooks, Lou Pitschmann

The chair, Colleen Cook, convened the meeting, welcomed committee members and guests. The committee approved the minutes of the earlier meeting.

A review of the status of the various projects was presented emphasizing the continuing growth of assessment activities, including LibQUAL+® and MINES for Libraries™. Library assessment is establishing itself as an operation in many of our member libraries and this places increased pressure on the program to meet the demands of our enlarging constituency base. Martha Kyrrillidou indicated that the ARL Statistics and Measurement Program had a number of key staff transitions in 2006 and is reorganizing its internal operations to meet the external needs and also continue to effectively support the existing operations. A key part of the reorganization has to do with the technical support of the infrastructure we have in place to support the ARL Statistics data collection and the LibQUAL+® service. We are moving into a staffing organization that includes the establishment of working relations with external consultants who bring expertise not available internally, hiring for two new staff positions (Technical Operations Manager and Senior Developer), and upgrading and training existing staff members' skills. The committee members resonated that similar staffing changes are taking place in their organizations and these three strategies are important in making a successful transition.

The committee was pleased to review the one page toolkit presenting the various assessment tools with a sense of the timeline for committing resources to each one of them. The calls for participation in various projects seems to have been mostly coming in

the fall (for LibQUAL+® and for the Effective, Sustainable and Practical Assessment Service) but, as we move into a more flexible technical infrastructure and are better staffed, we will be having more flexibility to initiate an assessment effort at a time that is convenient to a particular institution.

The committee discussed the highly successful Library Assessment Conference that took place in Charlottesville, VA. The conference was oversubscribed by word of mouth with more than 200 people attending the event. Many committee members indicated that key staff who attended that conference came back re-energized with many ideas and a renewed sense to direction as to how assessment activities can help their organizations. The conference offered a mechanism for the library assessment community to come together. This community is diverse in its make-up as it is comprised of people deployed in many different functions in the past and bring forward many useful and varied perspectives. A second conference is already planned to take place at the University of Washington in 2008. The proceedings from this conference will be published by ARL.

The committee discussed in detail the work of the Task Force on New Ways of Measuring Collections. The Task Force had commissioned two leading researchers, Bruce Thompson and Yvonna Lincoln, to conduct a quantitative and a qualitative inquiry respectively addressing new ways of describing research libraries. Two reports have been prepared by these researchers and the Task Force on New Ways of Measuring Collections met in Chicago and finalized a set of recommendations to the ARL Board based on the researchers' reports. Both researchers were available to present their findings to the membership and the Task Force presented its draft recommendations to the ARL Board in October [subsequently the Task Force presented its final recommendations to the ARL Board in February and the ARL Board approved the Task Force recommendations.] The Task Force recommendations were also discussed by the Statistics and Assessment Committee members. All members were enthusiastic about the new directions outlined in these recommendations. In particular, they liked the idea of producing alternative quantitative indices to the ARL membership criteria index. The expenditures-based index resonated with all members and they strongly supported the Task Force recommendation to have that index as the officially publicly available index instead of the ARL membership criteria index. Also received very positively was the qualitative inquiry results outlining a number of key questions that research libraries can use to describe themselves. The committee members are seeing that these questions will form the basis of much of the future work that the program has to do over the next couple of years, as we will be using these questions to describe research libraries in more qualitative terms in the future. These new approaches are also offering opportunities for addressing the accountability calls outlined in the newly released Spellings Commission Report (a copy of the report was circulated among the committee members). In summary, the ARL Statistics and Assessment Committee members were in full support of all the recommendations forwarded by the Task Force on New Ways of Measuring Collections.

Lastly, the committee members discussed issues related to the ARL Statistics and the ARL Supplementary Statistics especially in light of the recommendations coming from the Task Force and supported by this committee. It was deemed worthy to engage in a more systematic way to change certain definitions in the annual surveys to reflect better the new electronic environment and its importance. Specifically, the definitions for serials and volumes added (gross) present major challenges to libraries as they are confronted with the need to incorporate the electronic environment. In particular, regarding serials, counting subscriptions is not very meaningful in the electronic environment, so a move toward counting titles rather than subscriptions should be considered. The committee members urged program staff to consider acting on these issues at the upcoming survey cycle.

[Note: Subsequently a meeting took place on November 13, 2006, in Chicago and a number of changes to the ARL Statistics were forwarded to the committee as a result of that meeting. The Chicago meeting was attended by: Lori Arp (Northwestern), Julia Blixrud (ARL), Colleen Cook (Texas A&M), Brinley Franklin (Connecticut), Steve Hiller (U. of Washington), Martha Kyrillidou (ARL), Jay H. Lambrecht (U. of Illinois, Chicago), James Mouw (U. of Chicago), Jim Self (U. of Virginia), and Joe Zucca (U. of Pennsylvania). Preliminary feedback on the proposed changes from survey coordinators indicates that the changes are moving libraries toward the desired directions and outcomes.]

The meeting was adjourned as there were no additional topics offered for discussion.

New Ways of Measuring Collections

An Action Agenda Adopted February 2007

1. Reserve use of the current membership criteria index for those occasions when it is needed for consideration of membership issues.
2. Implement an expenditure-focused index.
3. Use the new expenditure-focused index for any public reports, such as in the Chronicle of Higher Education.
4. Begin to develop a services-based index that combines the following three factors: collections, services, and collaborative relationships.
5. Revise definitions for collections-related data categories currently collected and experiment with a variety of new measures, including usage data, strength of collections, and service quality measures to develop a richer set of variables for potential inclusion in the three-factor alternative index (see above).
6. Collect qualitative data to develop a profile of ARL member libraries.

**Expenditures-focused index
and its relation to the ARL membership index**

Descriptive Statistics

2004-05	Mean	Std. Deviation	Analysis N
totexp Total Library Expend.	\$23,445,979.04	\$13,006,999.411	112
salprf Salaries & Wages Professional Staff	\$5,427,633.79	\$3,996,201.076	112
explm Total Library Materials	\$9,438,841.58	\$4,203,116.140	112
Totstf	235.5804	132.85348	112
2003-04	Mean	Std. Deviation	Analysis N
totexp Total Library Expend.	\$22,749,138.69	\$12,543,570.696	113
salprf Salaries & Wages Professional Staff	\$5,206,000.97	\$3,856,203.119	113
explm Total Library Materials	\$9,180,502.04	\$4,017,351.873	113
Totstf	238.8673	134.00070	113
2002-03	Mean	Std. Deviation	Analysis N
totexp Total Library Expend.	21,767,201.32	12,185,429.006	113
salprf Salaries & Wages Professional Staff	4,936,198.08	3,579,145.423	113
explm Total Library Materials	8,636,132.07	3,812,936.107	113
Totstf	242.1593	136.89416	113

Correlations

2004-05		index05	rindx05 Rank of index05	expind05	re05 Rank of expind05
index05	Pearson Correlation	1	-.936(**)	.884(**)	-.894(**)
	Sig. (2-tailed)		.000	.000	.000
	N	113	113	112	112
rindx05 Rank of index05	Pearson Correlation	-.936(**)	1	-.786(**)	.942(**)
	Sig. (2-tailed)	.000		.000	.000
	N	113	113	112	112
expind05	Pearson Correlation	.884(**)	-.786(**)	1	-.818(**)
	Sig. (2-tailed)	.000	.000		.000
	N	112	112	112	112
re05 Rank of expind05	Pearson Correlation	-.894(**)	.942(**)	-.818(**)	1
	Sig. (2-tailed)	.000	.000	.000	
	N	112	112	112	112
2003-04		index04	rindx04 Rank of index04	expind04	re04 Rank of expind04
index04	Pearson Correlation	1	-.954(**)	.906(**)	-.908(**)
	Sig. (2-tailed)		.000	.000	.000
	N	113	113	113	113
rindx04 Rank of index04	Pearson Correlation	-.954(**)	1	-.776(**)	.932(**)
	Sig. (2-tailed)	.000		.000	.000
	N	113	113	113	113
expind04	Pearson Correlation	.906(**)	-.776(**)	1	-.808(**)
	Sig. (2-tailed)	.000	.000		.000
	N	113	113	113	113
re04 Rank of expind04	Pearson Correlation	-.908(**)	.932(**)	-.808(**)	1
	Sig. (2-tailed)	.000	.000	.000	
	N	113	113	113	113
2002-03		index03	rindx03 Rank of index03	expind03	re03 Rank of expind03
index03	Pearson Correlation	1	-.955(**)	.903(**)	-.911(**)
	Sig. (2-tailed)		.000	.000	.000
	N	113	113	113	113
rindx03 Rank of index03	Pearson Correlation	-.955(**)	1	-.785(**)	.943(**)
	Sig. (2-tailed)	.000		.000	.000
	N	113	113	113	113
expind03	Pearson Correlation	.903(**)	-.785(**)	1	-.817(**)
	Sig. (2-tailed)	.000	.000		.000
	N	113	113	113	113
re03 Rank of expind03	Pearson Correlation	-.911(**)	.943(**)	-.817(**)	1
	Sig. (2-tailed)	.000	.000	.000	
	N	113	113	113	113

** Correlation is significant at the 0.01 level (2-tailed).

Areas for building a profile of research library characteristics

Excerpt from report by Yvonna Lincoln in "Research Libraries as Knowledge Producers: a Shifting Context for Policy and Funding" Final Technical Report to the Task Force on New Ways of Measuring Collections, Association of Research Libraries

Those services, preservation and digitization efforts, and collection issues which they felt might be most amenable to metric development included:

- evidence of flexibility, "agility," and "fluidity" of resources
- evidence of engagement with external development and fundraising efforts, especially in order to enhance flexibility of fiscal resources
- shifts in staff skills in hiring and professional development
- the addition of data collection, analysis and management personnel, who can demonstrate conclusively who is using the library and what resources are being utilized
- evidence of connections with teaching faculty to design coursework, identify new materials (particularly primary resources), and design of assessments of student learning targeted to the new materials and teaching forms
- evidence of consortial arrangements
- unique collections, and artifacts, artwork, decorative objects, and other materials not normally classified as part of the overall collections. "Uniqueness" of holdings is, they felt, likely to become more, not less, important in the future, and so metrics which take account of non-text and non-digital "objects" should be included.
- the attention to bringing online previously uncatalogued historical holdings, documents and other "hidden collections"
- innovative administrative and budgetary efficiencies
- some contributions to faculty productivity
- the creation of social frameworks and various intellectual networks, however that is accomplished, and
- space reallocations and redesign which create new forms of working space for new forms of both student and faculty work.

Metrics which they did not feel were, or could be yet, captured well, if at all, even with narrative description included:

- creating the collective, "public" good while preserving and reusing assets
- generating new knowledge
- aiding and abetting diversification of the student body
- demonstrating the library's contributions to student outcomes, student learning, and/or graduate success. Although no one said so directly, the deans and directors intuitively know that this is a causal chain which is extremely fragile and tenuous, and they have too little data to even begin to hazard a guess here.

Includes:
Main Library _____
Law Library _____
Health Sciences Library _____

ARL STATISTICS 2006-07 DRAFT WORKSHEET

This worksheet is designed to help you plan your submission for the 2006-07 *ARL Statistics*. The figures on this worksheet should be similar to those in the "Summary" page of your web form, except in cases where data are unavailable. If an exact figure is unavailable, use "NA/UA". If the appropriate answer is zero or none, use "0."

Reporting Institution _____ Date Returned to ARL _____

Report Prepared by (name) _____

Title _____

Email address _____ Phone number _____

Contact person (if different) _____

Title _____

Email address _____ Phone number _____

PAGE ONE – VOLUMES

1. Volumes held June 30, 2007

1a. Volumes held June 30, 2006 (1.a) _____

1b. Volumes added during the year

(i) Volumes added – Gross (1.b.i) _____

(ii) Volumes withdrawn during year (1.b.ii) _____

(Net Volumes Added: 1.b.i – 1.b.ii) (1.b) _____

(Volumes held June 30, 2007: 1.a + 1.b) (1) _____

2. Number of monographic volumes purchased (2) _____

3. Basis of volume count is: (3) _____ Physical
_____ Bibliographic

Includes:
Main Library _____
Law Library _____
Health Sciences Library _____

PAGE TWO – OTHER COLLECTIONS

SERIALS

4. Total number of current serials received, including periodicals

4a. Number of current serials purchased (4a) _____
4a.i Electronic (4a.i) _____
4a.ii Print (4a.ii) _____

4b. Number of current serials received but not purchased (4b) _____
4b.i Electronic (4b.i) _____
4b.ii Print (4b.ii) _____

(Exchanges, gifts, deposits, etc. See instructions.)

(Total serials received: 4.a + 4.b) (4) _____

5. Government documents are included in count of Current Serials? (5) _____ Yes _____ No

OTHER LIBRARY MATERIALS

6. Microform units (6) _____

7. Government documents not counted elsewhere (7) _____

8. Computer files (8) _____

9. Manuscripts and archives (linear ft.) (9) _____

AUDIOVISUAL MATERIALS

10. Cartographic (10) _____

11. Graphic (11) _____

12. Audio (12) _____

13. Film and Video (13) _____

Includes:
 Main Library _____
 Law Library _____
 Health Sciences Library _____

PAGE THREE – EXPENDITURES

14. Are the below figures reported in Canadian dollars? (14) _____ Yes

_____ No

15. Total Library Materials Expenditures

15a. Monographs (15a) _____

15b. Current serials, including periodicals (15b) _____

15c. Other Library Materials (15c) _____

15d. Miscellaneous (15d) _____

(Total library materials: 15.a + 15.b + 15.c + 15.d) (15) _____

16. Contract binding (16) _____

17. Total Salaries and Wages

17a. Professional staff (17a) _____

17b. Support staff (17b) _____

17c. Student assistants (17c) _____

(Total salaries and wages: 17.a + 17.b + 17.c) (17) _____

18. Fringe benefits are included in expenditures for salaries and wages? (18) _____ Yes

_____ No

19. Other operating expenditures (19) _____

20. Total library expenditures (15 + 16 + 17 + 19) (20) _____

ELECTRONIC MATERIALS EXPENDITURES

21. Computer files *(One-time/monographic purchases.)* (21) _____

22. Electronic serials (22) _____

23. Bibliographic Utilities, Networks, and Consortia

23a. From internal library sources (23a) _____

23b. From external sources (23b) _____

24. Computer hardware and software (24) _____

25. Document Delivery/Interlibrary Loan (25) _____

Includes:
 Main Library _____
 Law Library _____
 Health Sciences Library _____

PAGE FOUR – PERSONNEL AND PUBLIC SERVICES

PERSONNEL (Round figures to nearest whole number.)

26. Total Staff FTE

26a. Professional staff (26a) _____

26b. Support staff (26b) _____

26c. Student assistants (26c) _____

(Total staff FTE: 26.a + 26.b + 26.c) (26) _____

STAFFED SERVICE POINTS AND HOURS

27. Number of staffed library service points (27) _____

28. Number of weekly public service hours (28) _____

INSTRUCTION

29. Number of library presentations to groups (29) _____

29a. Figure based on sampling? (29a) _____ Yes _____ No

30. Number of total participants in group presentations reported in line 29 (30) _____

30a. Figure based on sampling? (30a) _____ Yes _____ No

REFERENCE

31. Number of reference transactions (31) _____

31a. Figure based on sampling? (31a) _____ Yes _____ No

Includes:
 Main Library _____
 Law Library _____
 Health Sciences Library _____

PAGE FIVE – PUBLIC SERVICES AND LOCAL CHARACTERISTICS**CIRCULATION**

32. Number of initial circulations (excluding reserves) (32) _____

33. Total circulations (initial and renewals, excluding reserves) (33) _____

INTERLIBRARY LOANS

34. Total number of filled requests provided to other libraries (34) _____

35. Total number of filled requests received from other libraries or providers (35) _____

Ph.D. DEGREES AND FACULTY

36. Number of Ph.D.s awarded in FY2005-06 (36) _____

37. Number of fields in which Ph.D.s can be awarded (37) _____

38. Number of full-time instructional faculty in FY2005-06 (38) _____

ENROLLMENT – FALL 2006

(Line numbers refer to IPEDS survey form.)

39. Full-time students, undergraduate and graduate (39) _____
 (Add line 8, columns 15 & 16, and line 14, columns 15 & 16.)

40. Part-time students, undergraduate and graduate (40) _____
 (Add line 22, columns 15 & 16, and line 28, columns 15 & 16.)

41. Full-time graduate students (Line 14, columns 15 & 16.) (41) _____

42. Part-time graduate students (Line 28, columns 15 & 16.) (42) _____

FOOTNOTES

On the web form, you will be able to add footnotes to individual questions, as well as footnotes that apply to your entire institution. Please provide any information which would clarify the figures submitted, e.g., the inclusion of branch campus libraries or any special projects which might cause radical increases or decreases from the 2005-06 data. **The form will not be able to provide all of your institution's 2005-06 footnotes;** please use the footnotes published in the *ARL Statistics 2005-06* for comparison if necessary. 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 Kyrrillidou (martha@arl.org) or Mark Young (stats-ra@arl.org)
 Tel. (202) 296-2296.

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.

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 have been purchased and are owned 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.

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.

Include e-book units, as long as these e-books have been purchased and are owned 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.

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. Report the total number of unique serial subscriptions, not titles that you currently acquire. Do not include duplicate counts of serial titles, subscriptions and, 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 (e.g., Project MUSE, BioOne, ScienceDirect) should be counted by title even if they are not cataloged as long as they are made accessible by the library. 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.

In the case of consortial agreements, count under serials purchased Q4a only those ~~subscriptions to~~ titles for which the library pays directly from its budgeted expenditures, ~~reported under Q15b (expenditures for serials)~~. Count under 'serials purchased' Q4a only those titles and subscriptions for which your library pays. Report other subscriptions that your library receives and does not pay for directly under Q4b (serials received and not purchased). If a purchased subscription title includes electronic access to the title, count that title ONLY ONCE ~~subscription twice: once for the print version and once for for the~~ electronic only version. If serials 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.' ~~Q4b.~~

Do not include the full-text serials from such indexing/abstracting products as Wilson Social Sciences Abstracts Full Text, Lexis-Nexis, ABI/INFORM, and other indexes with access to the full text of articles. These full-text titles are counted in in the ARL Supplementary Statistics.

Question 4b. Serials: Not Purchased. Record those serials whose subscriptions were received without purchase for whatever reason. If separate counts of nonpurchased and purchased serials are not available, report only the total number of current serials received on line 4, and report U/A for lines 4a and 4b.

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 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 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 ~~1.16289~~, 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 counted on line 2.

Question 15b. Current Serials. Report expenditures for serials counted on line 4a. Exclude unnumbered monographic and publishers' series, and encumbrances.

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. Computer files. 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).

Question 22. Electronic Serials. 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 Total Current Serials (Question 4) or Current Serial Expenditures (Question 15b).

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.

ARL Statistics and Assessment Activities, Projects and 2007 Priorities: Updated May 2007

<i>Areas of activity</i>	<i>Accomplished</i>	<i>Planned</i>
1. Statistics and Assessment Committee	<ul style="list-style-type: none"> • Task Force on New Ways of Measuring Collections presented recommendations informed by consultants' reports about alternative quantitative and qualitative metrics to the membership and the ARL Board; the ARL Board accepted Task Force recommendations • Statistics and Assessment Committee discussed Task Force on New Ways of Measuring Collections recommendations and has been planning and developing follow up activities • Provided a framework for the tools currently available, goals and cycle of operation as requested by the Committee as the ARL Assessment Toolkit • Service Quality Evaluation Academy held in New Orleans with Colleen Cook, Dawn Thistle and Bruce Thompson 	<ul style="list-style-type: none"> • Statistics and Assessment follow up activities to the ARL Board/Task Force recommendations including calculation of alternative quantitative indices and planning additional qualitative work • Revise the annual ARL statistics surveys and definitions. Identify action items like changing the "number of electronic journals purchased" to the "number of unique (i.e., de-duplicated) electronic serials titles received" and modifying "Volumes Held Collectively" to include not only volumes withdrawn from the local collection, but also those volumes for which the cost was shared at the time of purchase • Celebrating 100 years of ARL Statistics • Sustain communication with liaisons to external organizations such as ALA, NISO, SCONUL and LIBER
2. StatsQUAL+™ A gateway to library assessment tools	<ul style="list-style-type: none"> • LibQUAL+® has collected data from more than 1,000 libraries registered in the database. The instrument has been implemented internationally in different countries, languages and types of libraries. Libraries 	<ul style="list-style-type: none"> • Continue development of the gateway for the integrated StatsQUAL™ platforms (LibQUAL+® Lite, ARL Statistics and migration of LibQUAL+® in the new environment by January 2008) • Implementing changes in LibQUAL+® Analytics

Statistics and Measurement Activities, May 2007

	<p>report taking actions based on their results, marketing library services more effectively and improving services</p> <ul style="list-style-type: none"> • Revised ARL Statistics data entry interface to allow comparison of changes from year to year and more control over the final data submission by the local ARL institutions • Tested LibQUAL+® Analytics – a tool for libraries to mine their institutional LibQUAL+® data across user groups and across time identifying trends in service quality ratings. • Developed a two-year technology roadmap to plan for the next generation of technology that will support the StatsQUAL+™ and LibQUAL+® activities • Initiated MINES for Libraries™ at the University of Iowa 	<p>resulting from the testing of the delivered platform</p> <ul style="list-style-type: none"> • Planning new languages in LibQUAL+® for 2008: Japanese, Spanish, Estonian; planning new types in LibQUAL+® for 2008: European Parliament and National Library of Estonia • Organize LibQUAL+® in South Africa in conjunction with the Northumbria Conference on Performance Measurement and Metrics • Follow up with the ARL survey coordinators about definitional issues for electronic resources and serials held • Analyze DigiQUAL™ data and find out how they are being used by UTOPIA and other digital libraries • Administer MINES for Libraries™ at the University of Iowa (2007-2010); presentation at Rutgers University (July 1); explore a global solution to EZproxy for MINES for Libraries™
3. Effective, Sustainable and Practical Assessment	<ul style="list-style-type: none"> • Visiting Program Officers Jim Self (Virginia) and Steve Hiller (Washington) continue to work with select libraries on implementing 'Effective, Sustainable and Practical Assessment' • A review of the 'Effective, Sustainable and Practical Assessment' Service is offered in a paper presented at the Library Assessment conference and more 	<ul style="list-style-type: none"> • Implications for future assessment activities to be reviewed by Statistics and Assessment Committee and the Steering Committee for Research, Teaching and Learning • Proceedings from the Charlottesville conference available in May 2007 • Plan for Library Assessment Conference for

Statistics and Measurement Activities, May 2007

	<p>recently at a second paper at the Evidence-Based Library and Information Practice conference</p> <ul style="list-style-type: none"> • Charlottesville conference website updated with powerpoints and papers and serves as a nucleus for further development regarding assessment activities 	<p>August 4-6, 2008 in Seattle, WA</p> <ul style="list-style-type: none"> • Library Assessment Conference planned to take place at the University of Washington on August 4-6, 2008 • Operating libraryassessment.info Blog as part of the Statistics and Assessment Program
4. Human Resources	<ul style="list-style-type: none"> • National Study on the Future of Librarians in the Workforce has started collecting data and ARL staff is contributing to survey design, methodology, and dissemination. ARL is one of several partners collaborating with UNC-Chapel Hill School of Information and Library Science. ARL representatives serving on the project Advisory Board are: Carla Stoffle (Arizona), Gary Strong (UCLA), John Price Wilkin (Michigan), Martha Kyrillidou (ARL) on Statistical Advisory Board • OCDA (Organizational Climate and Diversity Assessment) survey currently is taking place as a pilot across five ARL libraries: Arizona, Connecticut, Iowa, Kansas, and Texas A&M 	<ul style="list-style-type: none"> • The Academic Library Survey part of the National Study on the Future of Librarians will launch in January 2007 • Annual Salary Survey 2005-06 collected additional demographic data currently being analyzed by Stanley Wilder • Explore with the University of Maryland implementing an organizational development and diversity climate survey across a larger number of libraries
5. E-Metrics	<ul style="list-style-type: none"> • Web Development with XML workshop offered in collaboration with Amigos and seasoned XML developers from the libraries of Brown University, the University of Virginia, and the Virginia Foundation for the Humanities. 	<ul style="list-style-type: none"> • Monitor developments within NISO regarding the development of SUSHI • Monitor developments with Project COUNTER, the ScholarlyStats project, and other external efforts

Statistics and Measurement Activities, May 2007

	<ul style="list-style-type: none">• Discussed developments in counting usage of electronic resources with a presentation from Nancy Turner (Syracuse) on "E-Metrics Services and ARL Statistics" http://www.libqual.org/documents/admin/NancyTurner.ppt.	aiming at the development of decision support systems for libraries
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