



ARL Statistics Questionnaire, 2018–2019

Instructions and Definitions

The ARL Statistics survey describes collections, expenditures, service activities, and staffing levels in ARL member libraries.

Log in and submit your library's statistics online at www.arlstatistics.org by January 15, 2020.

Resources

You may wish to print out and complete the [ARL Statistics 2018–2019 Worksheet](#) to help you plan your submission.

See [Instructions for Submitting ARL Statistics Data Online](#) for detailed guidance on using the web interface.



Any large shifts in reported data from last year should be explained with footnotes. Use the [Percentages Used to Check Data Accuracy](#) spreadsheet to determine whether percentage changes are within bounds or need to be addressed in your footnotes.

Data Entry Instructions

Stage 1, Survey Set Up (ARL staff in collaboration with primary contact)

At this stage, the primary contact should review the survey configuration and work with ARL staff to make any desired changes to 1) user data entry rights, 2) available survey forms, and 3) how data on individual survey forms are aggregated for the main ARL Statistics publication. You can view your current survey configuration by clicking on the “Review survey settings” link at the bottom of the Stage 2 Monitor Data Entry screen. (See the [Instructions for Submitting ARL Statistics Data Online](#) for guidance on using the web interface.) To add a new user to the system, follow the instructions in the Data Entry Roles section below. For all other changes, email stats@arl.org.

Stage 2, Data Entry (primary contact and other users responsible for data entry)

- 1) Complete the survey forms for all libraries listed. Depending on your library's configuration, there may be multiple survey forms on your data entry screen, including your main library, health sciences library, law library, special collections, and in some cases, regional branch library questionnaires. Different users at your institution may be responsible for completing each survey form.
 - a) Do not use decimals. All figures should be rounded to the nearest whole number.
 - b) If an exact figure cannot be provided at the data entry form level, do not enter zero. Leave the question blank, and the primary contact will mark the question as NA at the review stage.
 - c) To view the definition and instructions for a particular question, click on the  icon.
 - d) To enter a footnote for a particular question, select the  icon on the appropriate row. See the instructions below for the types of information to include in footnotes.
 - e) You may save your work in progress by clicking the "Save" button at the bottom of the page.
 - f) For the forced choice questions (questions 3, 5, 14a, 15a, and 16a), select the radio button of the choice you would like to display in the publication. Your selections will automatically populate the review screen in Stage 3.
- 2) When you have finished entering data on each survey form, click the "Data Entry Complete" button at the bottom of the page. The branch's status will change from "Open" to "Review" on the Monitor Data Entry screen.
- 3) When all survey forms have been completed, the system will automatically move the survey to the review stage.

Stage 3, Review and Submit Data (primary contact)

- 1) On the tabs corresponding to each branch survey, review the response for each question and compare it with the previous year's total. In cases where there has been a significant percentage change, be sure you have provided a footnote to justify the variation. Use the [Percentages Used to Check Data Accuracy](#) spreadsheet to determine whether percentage changes are within bounds or need to be addressed in your footnotes.
- 2) If you find data that needs adjusting, return to the appropriate individual branch survey by clicking on the branch name in the Surveys section in the left-hand navigation bar. After you have made the correction, click the "Data Entry Complete" button at the bottom of the branch survey form. To return to the Review and Submit Data screen, click the appropriate survey in the Manage Surveys section in the left-hand navigation bar.
- 3) At the end of each response row is a checkbox in a column marked NA/UA ("Not Applicable/Unavailable"). Check this box **only** if you wish for the data displayed for this question to appear as 'NA/UA' in the publication. Responses marked as NA/UA are not included in publication. Otherwise, leave the checkbox blank.
- 4) As you complete your review of each tab, click the "Save All Tabs" button at the bottom of the page.

- 5) When you have finalized all data for your institution, click the “Submit All Tabs to ARL” button at the bottom of the page. This step cannot be reversed.

Data Entry Roles

Primary contact—The primary contact is your institution’s point person for the ARL Statistics survey. This person is responsible for defining the system users and the library branches that will report data. The primary contact has edit rights for all survey forms and is exclusively responsible for reviewing and submitting your institution’s data in Stage 3.

Users—Other staff members at your institution who are involved with data submission can be added to the system as users. To add a new user with edit rights to one or more survey forms:

- 1) Add the user by clicking Manage Users in the left-hand navigation bar and completing the form at the bottom of the screen.
- 2) Email stats@arl.org to inform ARL that the new contact needs data entry/edit rights.

Branch Libraries

If your institution elects to report data for the ARL Health Sciences Statistics and Law Library Statistics publications, there will be separate survey forms on your data entry screen for each of these libraries. Some institutions also include the statistics for their health sciences and/or law libraries in the data reported on their main library questionnaire for the main ARL Statistics publication, but most institutions have ARL do this data aggregation for them. If you do not know your institution’s configuration, please email stats@arl.org for guidance.

Although the form allows for data to be entered from both main and branch libraries (such as art or engineering), an effort should be made to report figures for the main campus only. (The US National Center for Education Statistics, Integrated Postsecondary Education Data System (IPEDS) defines a branch institution (or regional campus) 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 regional campuses are reported, specify which branch libraries are included and which ones are excluded in the footnotes section of the main library survey form.

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.

Special Instructions for the Special Collections Survey Form


ARL continues to collect Special Collections data. Provide the following key pieces of information regarding your special collections: expenditures (questions 6 to 9), staffing (questions 13a–c), the number of library presentations to groups, and the number of participants in group presentations (questions 14–15). The Special Collections survey also requires answers to the following forced-

choice questions: Q3, 5, 14a, 15a, and 16a. We are not collecting Special Collections data for some of the items to which these questions correspond. However, the system needs responses to the forced-choice questions so that you can submit your surveys. If a forced-choice question on the Special Collections survey is inapplicable, repeat the response that you chose for the Main Library survey.

We will leave it to your discretion to fill in additional variables if you think they are useful.

Footnotes

Explanatory footnotes will be included with the published statistics. Record in the footnote section any information that would clarify the figures submitted. Record the footnotes in a manner consistent with notes appearing in the published report, so that ARL staff can interpret the footnotes correctly. Use a concise sentence/paragraph format when writing footnotes—do not use bullets or make a bulleted list.

To enter footnotes for individual questions, select the  icon on the appropriate row. **Any large shifts in reported data from last year should be explained with footnotes.** Use the [Percentages Used to Check Data Accuracy](#) spreadsheet to determine whether percentage changes are within bounds or need to be addressed in your footnotes.

Provide any additional notes you may have in the footnotes area at the end of each survey form, including:

- The ending date of your fiscal year (MM/DD/YYYY)
- Branch libraries included in the ARL Statistics. Report here branch libraries included in the data reported on each survey form.
- Branch libraries **not** included in the ARL Statistics. It is not necessary to state that law and health sciences libraries are reported separately.

You can download copies of footnotes submitted by your institution in previous years in the [ARL Statistics data repository](#).

Definitions

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 the US and Canada, 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. 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 ARL Statistics annual data collection provides good yet practical-to-collect indicators for the rich scholarly resources ARL member libraries make available.

Collections

Question 1. Titles Held. 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 managed and maintained by the library that are cataloged and made ready for use. Deduplicate titles by counting multiple copies of the same manifestation as one title. Identical content in different formats should not be deduplicated, and each format should be counted 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. Counting the 245 field when the library provides stewardship for those resources may be sufficient.

Titles held includes:

- Print and electronic serials and monographs
- Other virtual serial volumes
- E-books
- Print & electronic government documents (monographs and serials)
- Microforms
- Computer files
- Manuscripts and archives
- Audiovisual materials (cartographic, graphic, audio, film and video, etc.).
- Gifts
- Electronic theses & dissertations
- Special collections materials that have been cataloged and made ready for use*
- Digitized content from your collection that 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.
- All other cataloged, locally digitized, and licensed resources
- Include all materials where financial contribution has been made even if partial.

Titles Held excludes:

- Titles for which your library is not providing sustained stewardship and maintenance
- HathiTrust, CRL, Internet Archive, etc. unless your library owns the digitized item and it is accessible under current copyright law
- Uncataloged items

*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.

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.

Volumes held is a count of “print only” items and e-books. Report the total number of volumes managed and maintained by the library that are cataloged and made ready for use. If either formulas or sampling are used for deriving your count, indicate in a footnote.

Volumes held includes:

- Print monographic volumes
- Bound volumes of periodicals/serials
- Print-based government documents **
- Electronic monographic government documents (also reported in Q4)
- E-books that are not serial publications (also reported in Q4) ***
- Electronic theses & dissertations (also reported in Q4)
- Volumes purchased collectively where the cost is shared at the time of purchase

Volumes held excludes:

- Nonprint materials, with the exception of e-books,
- Electronic serials and other virtual serial volumes (report in Q1),
- Electronic serial government documents (report in Q1),
- Microforms (report in Q1),
- Maps (report in Q1),
- Uncataloged items

** 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.

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 (included in Q2, Volumes Held). Report the number of electronic books held. Include electronic theses and dissertations. **Exclude electronic serials and other virtual serial volumes.** This number is a subset of Volumes Held reported in Q2. See the definition of Volumes Held above for more guidance.

Expenditures

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 **1.3237**, the annual exchange rate calculated from the Bank of Canada’s monthly average exchange rates for the period July 2018–June 2019.) 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®, DIALOG®, Lexis-Nexis®, 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. 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 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 support staff with the appropriate percent and sum the totals.

Question 11. Official designated percent. Report 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. 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

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, and 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.

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.

Instruction

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

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. 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. 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.

Reference

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., email, 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.** 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.

Circulation

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. Exclude e-books.** 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.

Use of Electronic Resources

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

Interlibrary Loans

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.

Gate Count

Question 23. Report the total annual gate count.

Annual gate count is:

The number of persons who physically enter the library in a year. The total includes persons who visit in groups and persons who visit for library-sponsored programs. It is understood that a single person may be counted more than once if they enter the library multiple times. Include annexes and other such facilities if they provide public access. If the library is virtual or entirely electronic, leave the line blank. [Note: this definition is modified from the ANSI/NISO Z39.7-2013 and Academic Library Survey 2012 definitions for gate count.]

If the library uses an electronic counter that captures entrances and exits, divide by two to obtain the entries only. If the library does not use an electronic counter, sampling based on a typical week may be used to extrapolate to a full year.

University Characteristics: Doctor's Degrees, Faculty, and Enrollment

Question 24. Doctor's Degrees. Report the number awarded during the 2018–19 fiscal year. For the purposes of this report, Doctor's Degrees includes 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 25. 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 26. 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. Make sure the number reported, and the basis for counting, are consistent with those for 2017–18 (unless in previous years faculty were counted who should have been excluded according to the above definition). Footnote any discrepancies.

Questions 27–30. Enrollment. U.S. libraries should use the Fall 2018 enrollment figures reported to the Department of Education on the Integrated Postsecondary Education Data System survey. 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.

Submit the completed questionnaire
by January 15, 2020

For assistance, please email stats@arl.org
Tel. (202) 296-2296

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