



ARL Statistics



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Step 4) Survey Complete

Thank you for completing this survey. Your data has been submitted to ARL for review and publication. For your convenience, you may still access all of your data by selecting those surveys via the left navigation. The data summaries and footnotes may be viewed below. Thank you very much for your participation and please let us know if you have any questions or concerns.

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Question	Response		
	This Year's Data	Last Year's Data	% Changed
Volumes			
1 Volumes held June 30, 2007	7,999,177	0	N/A
1.a Volumes held as of June 30, 2006	7,881,668	7,785,263	1.2
1.b Volumes added during year	117,509	118,294	-0.7
1.b.i Volumes added during year -- Gross	128,113	127,998	0.1
1.b.ii Volumes withdrawn during the year	10,604	9,704	9.3
2 Number of monographic volumes purchased	906	1,085	-16.5
3 Basis of volume count.	Ithaca/Geneva campus: Physical Law Library: Bibliographic	Ithaca/Geneva campus: Physical Law Library: Physical	N/A
Serials			
4 Total number of serial titles currently received, including periodicals	92,000	77,392	18.9
4.a Number of serial titles currently purchased	0	62,320	-100.0
4.a.i Electronic serials purchased	0	0	N/A
4.a.ii Print (and other format) serials purchased	0	0	N/A
4.b Number of serials titles currently received but not purchased	0	15,072	-100.0
4.b.i Electronic serials received but not purchased	0	0	N/A
4.b.ii Print (and other format) serials received but not purchased	0	0	N/A
5 Government documents are included in count of Current Serials?	Ithaca/Geneva campus: Yes Law Library: Yes	Ithaca/Geneva campus: Yes Law Library: Yes	N/A
Other Library Materials			
6 Microform units	8,445,737	8,327,016	1.4
7 Government documents not counted elsewhere	0	0	N/A
8 Computer files	18,321	17,279	6.0
9 Manuscripts and archives (linear ft.)	64,624	63,628	1.6
Audiovisual Materials			
10 Cartographic	251,509	250,050	0.6
11 Graphic	49,217	48,917	0.6
12 Audio	118,229	115,025	2.8
13 Film and video	37,076	28,699	29.2
Expenditures			
14 Are expenditure figures reported in Canadian dollars?	Ithaca/Geneva campus: No Law Library: No	Ithaca/Geneva campus: No Law Library: No	N/A

15 Total library materials	15,012,671	14,381,579	4.4
15.a Monographs	6,336,853	5,637,126	12.4
15.b Serials, including periodicals	7,830,051	7,340,695	6.7
15.c Other library materials	599,373	1,165,044	-48.6
15.d Miscellaneous	246,394	238,714	3.2
16 Contract Binding	166,825	173,302	-3.7
17 Total salaries and wages	21,947,474	21,196,729	3.5
17.a Professional staff	8,051,501	7,942,102	1.4
17.b Support staff	12,937,254	12,297,922	5.2
17.c Student assistants	958,719	956,705	0.2
18 Fringe benefits are included in expenditures for salaries and wages	Ithaca/Geneva campus: No Law Library: No	Ithaca/Geneva campus: No Law Library: No	N/A
19 Other operating expenditures	6,705,371	6,404,870	4.7
20 Total library expenditures	43,832,341	42,156,480	4.0
Electronic Expenditures			
21 One-time electronic resource purchases	222,333	33,661	560.5
22 Ongoing electronic resource purchases (e.g., subscriptions, annual license fees)	5,858,202	5,332,781	9.9
23 Bibliographic utilities, networks, and consortia		0	N/A
23.a From internal library sources	296,191	184,768	60.3
23.b From external sources	0	0	N/A
24 Computer hardware and software	1,502,913	1,585,474	-5.2
25 Document Delivery / Interlibrary Loan	142,539	148,271	-3.9
Personnel			
26 Total Staff, FTE	548	553	-0.9
26.a Professional staff, FTE	117	118	-0.8
26.b Support staff, FTE	313	320	-2.2
26.c Student assistants, FTE	118	115	2.6
Staffed Service Points and Hours			
27 Number of staffed library service points	53	52	1.9
28 Number of weekly public service hours	224	224	0.0
Instruction			
29 Number of library presentations to groups	1,622	1,665	-2.6
29.a Is the library presentations figure based on sampling?	Ithaca/Geneva campus: No Law Library: No	Ithaca/Geneva campus: No Law Library: No	N/A
30 Number of total participants in group presentations	22,424	24,281	-7.6
30.a Is the total participants in group presentations figure based on sampling?	Ithaca/Geneva campus: No Law Library: No	Ithaca/Geneva campus: No Law Library: No	N/A
Reference			
31 Number of reference transactions	90,898	96,625	-5.9
31.a Is the reference transactions figure based on sampling?	Ithaca/Geneva campus: Yes Law Library: Yes	Ithaca/Geneva campus: Yes Law Library: Yes	N/A
Circulation			
32 Number of initial circulations (excluding reserves)	465,267	499,967	-6.9
33 Total circulations (initial and renewals, excluding reserves)	946,664	1,017,340	-6.9
Interlibrary Loans			
34 Total number of filled requests provided to other libraries	59,522	61,490	-3.2

35 Total number of filled requests received from other libraries or providers	33,960	34,587	-1.8
Ph.D. Degrees and Faculty			
36 Number of Ph.D.s awarded	485	476	1.9
37 Number of fields in which Ph.D.s can be awarded	88	82	7.3
38 Number of full-time instructional faculty.	1,698	1,700	-0.1
Enrollment -- Fall 2006 (totals)			
39 Full-time students, undergraduate and graduate	19,611	19,599	0.1
40 Part-time students, undergraduate and graduate	38	43	-11.6
41 Full-time graduate students	6,063	5,937	2.1
42 Part-time graduate students	24	21	14.3
General Footnotes			
1 Report figures for fiscal year ending: (Please use MM/DD/YYYY format.)	0	0	N/A
2 Specify branch libraries included in the ARL Statistics:		0	N/A
3 Specify branch libraries not included in the ARL Statistics:		0	N/A
4 Specify additional general footnotes for the ARL Statistics:		0	N/A





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Question	Response		
	This Year's Data	Last Year's Data	% Changed
Volumes			
1 Volumes held June 30, 2007	564,386	0	N/A
1.a Volumes held as of June 30, 2006	556,009	548,518	1.4
1.b Volumes added during year	8,377	8,362	0.2
1.b.i Volumes added during year -- Gross	8,670	8,390	3.3
1.b.ii Volumes withdrawn during the year	293	28	946.4
2 Number of monographic volumes purchased	906	1,085	-16.5
3 Basis of volume count.	Law Library: Bibliographic	Law Library: Physical	N/A
Serials			
4 Total number of serial titles currently received, including periodicals	25,000	8,216	204.3
4.a Number of serial titles currently purchased	0	7,744	-100.0
4.a.i Electronic serials purchased	0	0	N/A
4.a.ii Print (and other format) serials purchased	0	0	N/A
4.b Number of serials titles currently received but not purchased	0	472	-100.0
4.b.i Electronic serials received but not purchased	0	0	N/A
4.b.ii Print (and other format) serials received but not purchased	0	0	N/A
5 Government documents are included in count of Current Serials?	Law Library: Yes	Law Library: Yes	N/A
Other Library Materials			
6 Microform units	975,051	941,309	3.6
7 Government documents not counted elsewhere	0	0	N/A
8 Computer files	39	39	0.0
9 Manuscripts and archives (linear ft.)	0	0	N/A
Audiovisual Materials			
10 Cartographic	0	0	N/A
11 Graphic	0	0	N/A
12 Audio	360	359	0.3
13 Film and video	225	224	0.4
Expenditures			
14 Are expenditure figures reported in Canadian dollars?	Law Library: No	Law Library: No	N/A
15 Total library materials	1,447,560	1,452,361	-0.3
15.a Monographs	934,261	887,291	5.3
15.b Serials, including periodicals	479,048	529,382	-9.5
15.c Other library materials	143	185	-22.7
15.d Miscellaneous	34,108	35,503	-3.9
16 Contract Binding	22,754	22,596	0.7

17 Total salaries and wages	1,172,202	1,106,389	5.9
17.a Professional staff	686,479	646,361	6.2
17.b Support staff	445,871	431,802	3.3
17.c Student assistants	39,852	28,226	41.2
18 Fringe benefits are included in expenditures for salaries and wages	Law Library: No	Law Library: No	N/A
19 Other operating expenditures	76,954	66,839	15.1
20 Total library expenditures	2,719,470	2,648,185	2.7
Electronic Expenditures			
21 One-time electronic resource purchases	0	0	N/A
22 Ongoing electronic resource purchases (e.g., subscriptions, annual license fees)	91,323	115,796	-21.1
23 Bibliographic utilities, networks, and consortia		0	N/A
23.a From internal library sources	0	0	N/A
23.b From external sources	0	0	N/A
24 Computer hardware and software	4,566	10,789	-57.7
25 Document Delivery / Interlibrary Loan	5,303	5,340	-0.7
Personnel			
26 Total Staff, FTE	26	25	4.0
26.a Professional staff, FTE	10	10	0.0
26.b Support staff, FTE	12	11	9.1
26.c Student assistants, FTE	4	4	0.0
Staffed Service Points and Hours			
27 Number of staffed library service points	2	2	0.0
28 Number of weekly public service hours	80	80	0.0
Instruction			
29 Number of library presentations to groups	237	273	-13.2
29.a Is the library presentations figure based on sampling?	Law Library: No	Law Library: No	N/A
30 Number of total participants in group presentations	1,201	1,314	-8.6
30.a Is the total participants in group presentations figure based on sampling?	Law Library: No	Law Library: No	N/A
Reference			
31 Number of reference transactions	4,641	8,415	-44.8
31.a Is the reference transactions figure based on sampling?	Law Library: Yes	Law Library: Yes	N/A
Circulation			
32 Number of initial circulations (excluding reserves)	13,984	13,970	0.1
33 Total circulations (initial and renewals, excluding reserves)	18,418	20,326	-9.4
Interlibrary Loans			
34 Total number of filled requests provided to other libraries	1,742	1,757	-0.9
35 Total number of filled requests received from other libraries or providers	1,146	1,254	-8.6
Ph.D. Degrees and Faculty			
36 Number of Ph.D.s awarded	3	6	-50.0
37 Number of fields in which Ph.D.s can be awarded	1	1	0.0
38 Number of full-time instructional faculty.	44	37	18.9
Enrollment -- Fall 2006 (totals)			
39 Full-time students, undergraduate and graduate	647	630	2.7
40 Part-time students, undergraduate and graduate	0	0	N/A
41 Full-time graduate students	647	630	2.7
42 Part-time graduate students	0	0	N/A
General Footnotes			
1 Report figures for fiscal year ending: (Please use MM/DD/YYYY format.)	0	0	N/A
2 Specify branch libraries included in the ARL Statistics:		0	N/A

	3 Specify branch libraries not included in the ARL Statistics:	0	N/A
	4 Specify additional general footnotes for the ARL Statistics:	0	N/A

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Question	Response		
	This Year's Data	Last Year's Data	% Changed
Volumes			
1 Volumes held June 30, 2007	189,353	0	N/A
1.a Volumes held as of June 30, 2006	184,952	184,952	0.0
1.b Volumes added during year	4,401	3,886	13.3
1.b.i Volumes added during year -- Gross	4,619	4,264	8.3
1.b.ii Volumes withdrawn during the year	218	378	-42.3
2 Number of monographic volumes purchased	1,528	1,223	24.9
3 Basis of volume count.	Medical Library: Physical	Medical Library: Physical	N/A
Serials			
4 Total number of serial titles currently received, including periodicals	6,119	5,960	2.7
4.a Number of serial titles currently purchased	5,344	5,888	-9.2
4.a.i Electronic serials purchased	4,520	0	N/A
4.a.ii Print (and other format) serials purchased	824	0	N/A
4.b Number of serials titles currently received but not purchased	775	72	976.4
4.b.i Electronic serials received but not purchased	741	0	N/A
4.b.ii Print (and other format) serials received but not purchased	34	0	N/A
5 Government documents are included in count of Current Serials?	Medical Library: No	Medical Library: No	N/A
Other Library Materials			
6 Microform units	12,900	12,900	0.0
7 Government documents not counted elsewhere	0	0	N/A
8 Computer files	612	568	7.7
9 Manuscripts and archives (linear ft.)	0	0	N/A
Audiovisual Materials			
10 Cartographic	0	0	N/A
11 Graphic	928	928	0.0
12 Audio	29	29	0.0
13 Film and video	886	868	2.1
Expenditures			
14 Are expenditure figures reported in Canadian dollars?	Medical Library: No	Medical Library: No	N/A
15 Total library materials	1,679,010	1,635,108	2.7
15.a Monographs	81,202	195,362	-58.4
15.b Serials, including periodicals	1,593,456	1,433,525	11.2
15.c Other library materials	130	2,388	-94.6
15.d Miscellaneous	4,222	3,833	10.1

16 Contract Binding	31,272	29,286	6.8
17 Total salaries and wages	1,790,784	1,742,385	2.8
17.a Professional staff	524,749	680,025	-22.8
17.b Support staff	1,266,035	1,062,360	19.2
17.c Student assistants	0	0	N/A
18 Fringe benefits are included in expenditures for salaries and wages	Medical Library: No	Medical Library: No	N/A
19 Other operating expenditures	412,630	514,863	-19.9
20 Total library expenditures	3,913,696	3,921,642	-0.2
Electronic Expenditures			
21 One-time electronic resource purchases	108,791	0	N/A
22 Ongoing electronic resource purchases (e.g., subscriptions, annual license fees)	894,119	0	N/A
23 Bibliographic utilities, networks, and consortia		0	N/A
23.a From internal library sources	18,635	17,699	5.3
23.b From external sources	0	0	N/A
24 Computer hardware and software	116,853	33,086	253.2
25 Document Delivery / Interlibrary Loan	4,709	7,173	-34.4
Personnel			
26 Total Staff, FTE	33	34	-2.9
26.a Professional staff, FTE	8	9	-11.1
26.b Support staff, FTE	25	25	0.0
26.c Student assistants, FTE	0	0	N/A
Staffed Service Points and Hours			
27 Number of staffed library service points	2	2	0.0
28 Number of weekly public service hours	108	108	0.0
Instruction			
29 Number of library presentations to groups	134	91	47.3
29.a Is the library presentations figure based on sampling?	Medical Library: No	Medical Library: No	N/A
30 Number of total participants in group presentations	917	565	62.3
30.a Is the total participants in group presentations figure based on sampling?	Medical Library: No	Medical Library: No	N/A
Reference			
31 Number of reference transactions	6,441	40,780	-84.2
31.a Is the reference transactions figure based on sampling?	Medical Library: Yes	Medical Library: Yes	N/A
Circulation			
32 Number of initial circulations (excluding reserves)	15,556	11,826	31.5
33 Total circulations (Initial and renewals, excluding reserves)	21,324	17,471	22.1
Interlibrary Loans			
34 Total number of filled requests provided to other libraries	3,380	3,932	-14.0
35 Total number of filled requests received from other libraries or providers	4,665	5,753	-18.9
Ph.D. Degrees and Faculty			
36 Number of Ph.D.s awarded	49	36	36.1
37 Number of fields in which Ph.D.s can be awarded	7	7	0.0
38 Number of full-time instructional faculty.	1,100	956	15.1
Enrollment -- Fall 2006 (totals)			
39 Full-time students, undergraduate and graduate	881	803	9.7
40 Part-time students, undergraduate and graduate	0	0	N/A
41 Full-time graduate students	881	803	9.7
42 Part-time graduate students	0	0	N/A
General Footnotes			

1 Report figures for fiscal year ending: (Please use MM/DD/YYYY format.)	0	0	N/A
2 Specify branch libraries included in the ARL Statistics:		0	N/A
3 Specify branch libraries not included in the ARL Statistics:		0	N/A
4 Specify additional general footnotes for the ARL Statistics:		0	N/A



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ARL Statistics 2006-07**Footnotes Summary****Ithaca/Geneva campus****General Footnotes****2) Specify branch libraries included in the ARL Statistics:**

Footnote: Includes the Adelson, Africana, Annex, Engineering, Entomology, Fine Arts, Hotel, Industrial & Labor Relations, Kroch (Asia Collections), Kroch (Rare & Mss. Collections), Law, Management, Mann, Mathematics, Music, Olin, Physical Sciences, Uris, and Veterinary Libraries on the Ithaca campus, and the New York Agricultural Experiment Station Library in Geneva NY.

3) Specify branch libraries not included in the ARL Statistics:

Footnote: Excludes the Medical College Library in New York, NY.

Question Footnotes**1.a) Volumes held as of June 30, 2006**

Footnote: Change from ending figure for 2005/2006 reflects the fact that additional e-books were counted. Includes all e-books with records in the online catalog. E-book counts as of 10/2007.

3) Basis of volume count.

Footnote: Law Library's counts are bibliographic.

4) Total number of serial titles currently received, including periodicals

Footnote: Estimate only. Divisions by paid/unpaid unavailable. 40% of the titles in this count were estimated to be print. 8,600 of these titles were estimated to be non-current e-titles. This count was made particularly difficult by the fact that online records do not exist for two of the Law Library's largest e-journal packages as they are not available beyond the Law School. (These packages were not counted in the past.) For the largest Law aggregators, estimated percentages used to de-dupe counts were percentages available for central and Law online records combined. The central estimate to de-dupe between print and e was arrived at through manually searching a sample. Print counts include numbered and unnumbered monographic series. Law print counts include non-serial continuations.

9) Manuscripts and archives (linear ft.)

Footnote: Figure is in cubic feet.

13) Film and video

Footnote: Video/DVD count includes an increase of 5,835 due to a more precise online count.

15) Total library materials

Footnote: Increase in serial expenditures and decrease in "other" expenditures reflects in part the fact that more special format serial expenditures were included in serials expenditures. Expenditures for integrating resources were included in monographic expenditures.

15.d) Miscellaneous

Footnote: Shipping costs only. Memberships for the purposes of publications not broken out.

17.a) Professional staff

Footnote: For libraries other than Law, includes expenditures for librarians and archivists only. For Law, includes expenditures for librarians and "exempt" staff.

22) Ongoing electronic resource purchases (e.g., subscriptions, annual license fees)

Footnote: Includes an estimate for amount spent on electronic subscriptions for large publishers providing both print and electronic whose online payment records are coded as print only.

26) Total Staff, FTE

Footnote: Does not include staff in positions that were temporarily vacant. Includes professional, support and student staff on grants and projects.

26.a) Professional staff, FTE

Footnote: For libraries other than Law, includes librarians and archivists only. For Law, includes librarians and "exempt" staff.

28) Number of weekly public service hours

Footnote: Part of one library remains open between 2 and 8 a.m., Sunday-Thursday, staffed by library-paid security staff. (Adds 27.5 hours to this figure.) Study space and computer lab available.

29) Number of library presentations to groups

Footnote: Includes a few in-office outreach/instruction sessions for individuals.

31) Number of reference transactions

Footnote: In 2006/2007, CUL implemented a locally developed system, in which staff at all public services desks recorded their statistics during 12 sample weeks; this total was extrapolated from those data. Because this methodology is new, some inaccuracies or errors exist; the data quality will improve as the system and method mature.

32) Number of initial circulations (excluding reserves)

Footnote: Includes ILL and some staff transactions.

40) Part-time students, undergraduate and graduate

Footnote: Employee degree only.

42) Part-time graduate students

Footnote: Employee degree only.

Law Library

General Footnotes

No footnotes reported.

Question Footnotes

1.a) Volumes held as of June 30, 2006

Footnote: Change from ending figure for 2005/2006 reflects the fact that additional e-books were counted. E-book counts are as of 10/2007.

1.b.i) Volumes added during year -- Gross

Footnote: Includes a small number of manually cataloged e-books.

4) Total number of serial titles currently received, including periodicals

Footnote: Estimate only. Divisions by paid/unpaid unavailable. 21% of the titles in this count were estimated to be print. 3,300 of these titles were estimated to be non-current e-titles. This count was made particularly difficult by the fact that online records do not exist for two of the Law Library's largest e-journal packages as they are not available beyond the Law School. (These packages were not counted in the past.) For the largest aggregators, estimated percentages used to de-dupe counts were percentages available for central and Law online records combined. The central estimate to de-dupe between print and e was arrived at through manually searching a sample. Print counts include numbered and unnumbered monographic series and non-serial continuations.

31) Number of reference transactions

Footnote: Decrease from 2005/2006 due in large part to a new sampling method instituted at CUL.

Medical Library

General Footnotes

No footnotes reported.

Question Footnotes

1.b.i) Volumes added during year -- Gross

Footnote: Includes E books

2) Number of monographic volumes purchased

Footnote: We are reporting 770 ebooks.

4.b) Number of serials titles currently received but not purchased

Footnote: Last year we only reported "print"

17.a) Professional staff

Footnote: A number of staff were on medical leave

31) Number of reference transactions

Footnote: FY06 data reported incorrect numbers as Circulation desk staff had captured all directional questions in the new online reporting system. FY07 data reflect actual decrease as well as incomplete data collection as reported by desk staff. Some staff only captured encounters rather than individual questions, so approximately 11% of in-person questions were multiplied by the encounter rate.



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 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 explaining how many e-books you are reporting, preferably by specifying the products and the number of titles in a note.

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

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

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

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

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

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

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

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

Question 4a. Serial titles currently purchased. In the case of consortial agreements, count under 'serial titles currently purchased' those titles for which the library pays any amount from its budgeted expenditures. Include all titles that are part of bundles or aggregated packages, even if your library makes a partial payment for access to those titles. If a purchased title includes electronic access to the title, count that title ONLY ONCE (DEDUPED) as electronic only. If a database includes full-text and abstracted titles, the number of full-text titles can be counted.

Question 4b. Serial titles: Not Purchased. If serial titles have been purchased through a consortium whose budget is centrally funded and independent from the library's budget, these serials should be reported under 'serial titles currently received but not purchased.'

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

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

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

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 1.1323, the average monthly noon exchange rate published in the Bank of Canada *Review* for the period July 2006-June 2007.) **Please round figures to the nearest dollar.**

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

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

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

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

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

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 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 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 26b. Support Staff. Report the total FTE (see instruction 26) of staff not included in 26a.

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. Include virtual reference transactions (e.g., e-mail, WWW form, chat). Duration should not be an element in determining whether a transaction is a reference transaction. Sampling based on a typical week may be used to extrapolate TO A FULL YEAR 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 2006-07 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 data entry Web interface (www.arlstatistics.org) for a copy of last year’s footnotes. These can be found under “Historical Data” by clicking a survey’s arrow icon under the “View Summary” column and then selecting the “Footnotes” tab. 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.

Used for:
_____ Main Library
_____ Law Library
_____ Health Sciences Library
12/17/07

ARL STATISTICS 2006-07 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 (1.a + 1.b) (1) _____
- 1a. Volumes held June 30, 2006 (1.a) _____
- 1b. Volumes added during the year (1.b.i – 1.b.ii) (1.b) _____
- (i) Volumes added – Gross (1.b.i) _____
- (ii) Volumes withdrawn during year (1.b.ii) _____
2. Number of monographic volumes purchased (2) _____
3. Basis of volume count is: (3) _____ Physical
_____ Bibliographic

PAGE TWO – OTHER COLLECTIONS

SERIALS

4. Total number of serial titles currently received, including periodicals (4.a + 4.b) (4) _____

4a. Number of serial titles currently purchased (4a) _____

4a.i Electronic (4a.i) _____

4a.ii Print (and other format) serials purchased (4a.ii) _____

4b. Number of serial titles currently received but not purchased (4b) _____

4b.i Electronic (4b.i) _____

4b.ii Print (and other format) serial received
but not purchased (4b.ii) _____

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

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) _____

PAGE THREE – EXPENDITURES

14. Are the below figures reported in Canadian dollars? (14) ☐ Yes
☐ No

15. Total Library Materials Expenditures (15.a + 15.b + 15.c + 15.d) (15) _____

15a. Monographs (15a) _____

15b. Serial titles, including periodicals (15b) _____

15c. Other Library Materials (15c) _____

15d. Miscellaneous (15d) _____

16. Contract binding (16) _____

17. Total Salaries and Wages (17.a + 17.b + 17.c) (17) _____

17a. Professional staff (17a) _____

17b. Support staff (17b) _____

17c. Student assistants (17c) _____

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. One-time electronic resource purchases (21) _____

22. Ongoing electronic resource purchases (e.g., subscriptions, annual license fees) (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) _____

PAGE FOUR – PERSONNEL AND PUBLIC SERVICES

PERSONNEL (Round figures to nearest whole number.)

26. Total Staff FTE (26.a + 26.b + 26.c) (26) _____

26a. Professional staff, FTE (26a) _____

26b. Support staff, FTE (26b) _____

26c. Student assistants, FTE (26c) _____

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. Is the library presentations figure based on sampling? (29a) _____ Yes _____ No

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

30a. Is the total participants in group presentations figure based on sampling? (30a) _____ Yes _____ No

REFERENCE

31. Number of reference transactions (31) _____

31a. Is the reference transactions figure based on sampling? (31a) _____ Yes _____ No

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 FY2006-07 (36) _____

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

38. Number of full-time instructional faculty in FY2006-07 (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. Please use the footnotes in the *ARL Statistics 2005-06* for comparison if necessary. Please consult the data entry Web interface (www.arlstatistics.org) for a copy of last year's footnotes. These can be found under "Historical Data" by clicking a survey's arrow icon under the "View Summary" column and then selecting the "Footnotes" tab. 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.

Statistics FAQ

December 3, 2007

Monographs

Q1. How are electronic books to be counted?

A1. Count those e-books owned by or leased and for which there is a catalog record in the library catalog.

Q2. How do we count government documents that are held in federal depositories?

A2. If there are records in your catalog, you may count them as volumes held.

Q3. Can we count those titles in our catalog that are for collections we do not own, but to which we provide access (CRL, international or local partners)?

A3. No.

Serials

Q4. What prompted the decision to change to counting serial unique titles?

A4. The former instructions for reporting serials were that libraries report the “total number of subscriptions, not titles, but electronic serials acquired as part of an aggregated package (such as MUSE or Academic’s IDEAL) were to be counted by title”. Directors and other staff have expressed concern that the serials count was problematic since many libraries engage in multiple consortia arrangements and the serials count was inflated by duplicate titles held in multiple packages. The Statistics and Assessment Committee determined that a new way of counting serials focusing on titles would provide better descriptive data reflecting the true scope of the content provided by research libraries. In the electronic environment once you own or lease a title, it is often accessible by all users so a more authentic descriptive statistic for the scope of the content is titles rather than subscriptions. A unique title count favors broader coverage. Any duplication of those titles through packages, aggregations, bundles, etc. becomes more a management issue.

Q5. What is meant by deduplication?

A5. Deduplication means to count each title only once. If a title appears in both print and electronic form and a library has acquired it through several different providers, it would still be counted as one title.

Deduplication also applies to reporting titles across libraries. If, for example, a member has law, health science, and main libraries, the titles should be deduplicated across those libraries. Report unique titles to law, report unique titles to medical, and report the remaining unique titles to main. We are asking libraries to provide a footnote of their deduplication process.

Q6. Why is electronic version of a serial considered the primary version?

A6. It is expected that as serials move to electronic form and become the version of record, a count for electronic titles is more representative of library collections.

Q7. Is there a difference in counting a serial title for which we have an extensive run or those for which we have current issues only?

A7. No, all titles are counted equally.

Q8. How should we report bundles/packages/aggregations?

A8. There are a variety of ways electronic serials can be provided:

- Electronic journal is single paid subscription (i.e., has no print counterpart)
- Electronic journal comes free with a paid print subscription
- Electronic journal costs extra with a paid print subscription
- Electronic journal is part of an aggregated package purchased by the library
 - Publisher or third-party package in which all titles are available in full
 - Publisher or third-party package in which not all titles are available in full
- Electronic journal is part of a package purchased by the library in collaboration with other parties (other campus libraries, local consortium, regional network, etc.)
 - Publisher or third-party package in which all titles are available in full
 - Publisher or third-party package in which not all titles are available in full

In all cases the serial titles are currently being purchased in some way and are being currently received. Each unique full-text title is counted only once and if available in both print and electronic, it should be reported as an electronic title.

Q9. Within an aggregation/bundle/package, can we count a ceased title?

A9. Yes, as long as the title is being purchased with current funds.

Q10. Within a currently purchased (perhaps through consortia) aggregation/bundle/package, can we count a title we previously held but subsequently unsubscribed?

A10. Yes, as long as the title is being purchased with current funds.

Q11. How do we count titles that are received free along with paid titles?

A11. If you cannot separate the purchased and not purchased component, all titles may be reported as purchased titles.

Q12. How should we count embargoed titles?

A12. If the title is currently purchased, it would be counted as a unique electronic title. If the title is available in print and embargoed electronic, it would still be one electronic title.

Q13. How do we count successive entry titles that are included in aggregations or packages?

A13. Each title is counted as a unique title. If the aggregation is currently being purchased, the title would be counted as currently purchased.

Q14. How do we count ceased electronic titles since they will never be bound?

A14. If access to the titles is still being provided through fees, they can be counted as purchased titles. If you do not pay for a ceased electronic title and you provide access to it, you can count it as currently received. We do not know how many ceased electronic titles exist. Any information about them is welcome.

Q15. Can JSTOR titles be counted?

A15. Yes, the serial title count should include unique serial titles currently purchased. If there is an ongoing expenditure for JSTOR, the titles can be counted (it is expected that many of these titles will duplicate held print versions).

Q16. Can titles included in full-text indexing and abstracting services be counted?

A16. Yes, if payments are currently made to acquire an indexing and abstracting service the full-text titles included in these services can be counted as unique titles.

Q17. Can open access titles be counted?

A17. Yes, if records for the titles are included in the library's catalog. The titles would be counted as received, not purchased.

Q18. How should we count open access titles for which we might pay membership fees (e.g., PLoS or BioMed Central)?

A18. If records for these titles are included in the library catalog, they would be counted as received not purchased. The membership fees would be recorded in Miscellaneous expenditures (15d) or Other operating expenditures (19), according to local practice.

Q19. How should databases acquired through standing orders be counted (e.g., Gale, ABC Clio)?

A19. Each database that does not include full-text titles would be counted as one (1) serial. Include the number of full-text titles for those databases that include a mixture of full-text serial titles and other types of materials if the full-text titles can be easily identified.

Some workshop participants recommended compilation of a list of commonly held reference database products and how to count them (i.e., either as one (1) serial or the included titles can be counted separately). Suggestions for products to include on such a list are welcome.

Q20. Have you spoken to electronic resource services about providing support for deduplication activities in ARL libraries?

A20. We are actively beginning those conversations and will keep you informed of the outcome.

Q21. What will be the relationship between unique titles and serials expenditures?

A21. That is not known at this time. The current unit cost time series is not expected to be maintained. Data from this year will be analyzed to determine if there is value in beginning a new time series.

Integrating Resources

Q22. How should we count integrating resources?

A22. In general, one-time purchases should be counted as monographs and continuing purchases should be considered serials.

Expenditures

Q23. How do we count one-time payments for backfiles?

A23. There is no change in the instructions from previous years. Backfile payments should be recorded as other library materials (15c) and one-time electronic purchases (21).

Q24. Is there any place to record fringe benefit payments?

Q24. No, the ARL practice has been to exclude fringe benefit payments from both the personnel variables as well as operating costs.

Q25. What capital expenditures can be included in operating expenditures (19)?

A25. Temporarily reallocated funds from other budget lines during a specific fiscal year may be included as operating expenditures. Capital expenditures are usually made to acquire or upgrade physical assets such as property, buildings, or equipment. One-time capital expenditures like a major renovation or a new building should not be included as an operating expenditure.

Expenditures-Focused Index

Q26. Will the definition for professional staff used to construct the expenditures-focused index be made more specific?

A26. No, as the current definition works well across many ARL institutions in a satisfactory fashion. The expenditures correlate highly with all the figures included in the Expenditures-Focused Index. The Expenditures-Focused Index was determined through factor analysis of all the ARL Statistics variables and it led to the inclusion of four variables: total expenditures, expenditures for library materials, expenditures for professional staff, and professional plus support staff. The Expenditures-Focused Index correlates highly with the ARL Membership Criteria Index.

Supplementary Statistics

Q27. Shall we count our Google or Open Content Alliance book digitization projects in the Library Digitization Activities?

A27. If your library is actively involved in Google or Open Content Alliance digitization, you may report the library activities as part of the digitization activities in the supplementary statistics. The Statistics and Assessment Committee will be discussing the implications of large scale digitization projects at the May 2008 committee meeting.

Q28. Why do the instructions for question 13 ask us to supply the figure for volumes held collectively from 2003-04?

A28. The intent of this question to report a cumulative total of volumes that have been withdrawn for shared storage purposes. Previous survey instructions implied that an annual figure should be reported.

Miscellaneous

Q29. What happened to the Interim Guidelines for counting Materials Housed in Library Storage Centers?

A29. Part of the question has been answered in 'Volumes held' with the addition of the statement that volumes purchased collectively may be counted in 'Volumes held.' Volumes withdrawn for purposes of placement in a shared storage facility should be reported in question 13 of the supplementary statistics. If volumes are held in remote and/or shared storage facilities without being withdrawn, they should be counted as part of 'Volumes held' in the ARL Statistics.