

Instructions and Definitions for 2015 ACRL Annual Survey  
2015 October 17

## **Introduction**

The ACRL Annual Survey is administered by the ACRL Academic Library Trends and Statistics Survey Editorial Board and is designed to gather information at the national level from all types of academic libraries.

The ACRL Academic Library Trends and Statistics Survey has three objectives. The first objective is to offer participants the opportunity to provide one response for two surveys. Completing this survey will provide responses required for the IPEDS Academic Libraries (AL) component. Survey participants may download a file which can then be used to upload the required IPEDS responses by the institutional keyholder or the library if designated by the institutional keyholder as an IPEDS user. A second objective is timeliness: the responses to this survey will be available for use within months of the closing date. This timeframe is expected to be 12 to 18 months before the AL component data is available through IPEDS. A third objective is to restore measures formerly collected through the biennial NCES Academic Library Survey (ALS) (discontinued after 2012) that have proved over the years to facilitate benchmarking and best practices studies.

The members of the ACRL Academic Library Trends and Statistics Survey Editorial Board recognize and acknowledge the differences in internal workflows in academic libraries resulting in varying data collection compilation processes and reporting. We are asking for each library to respond as best as possible when completing this survey.

Please note the following information concerning academic libraries reporting relationships from IPEDS:

There are two different types of reporting relationships that can be established for the Academic Libraries (AL) component of IPEDS, a parent/child relationship or a main/branch library relationship. In both types of reporting relationships, the main or central library will report collections and expenditures information for itself and the branch libraries. However, parent/child relationships can only be established for main and branch libraries located at different institutions (with different IPEDS Unit IDs).

Branch and independent libraries are defined as auxiliary library service outlets with quarters separate from the central library of an institution, which have a basic collection of books and other materials, a regular staffing level, and an established schedule. Branch libraries are administered either by the central library, or as in the case of some libraries (such as law, medical, etc.), through the administrative structure of the other units within the university. They can include virtual/digital-based branch and independent libraries. Departmental study/reading rooms are not included.

### Main/Branch Library Relationship

This type of relationship can be established for branch libraries that are located at the same institution (meaning it has the same IPEDS Unit ID) as the institution of the main or central library.

### Parent/Child Relationship

This type of relationship can be established for branch libraries that are located at a different institution (meaning it has a different IPEDS Unit ID) from the institution of the main or central library. *Libraries in consortia that share ALL their resources typically fall into this category.* The following criteria must also be met: (1) the child institution (the institution of the branch library) is in the same institutional sector as the parent (the institution of the main library), and (2) the child institution is not set up to report its own academic libraries expenditures or collections data.

An example of this relationship is the University of Alaska Anchorage and Alaska Pacific University which share ALL of their library resources. They have two separate IDs in IPEDS; the University of Alaska reports libraries data for both institutions and Alaska Pacific reports nothing.

If the institution has been identified as having a child relationship by IPEDS, please indicate this relationship in the note at the end of the survey. If there is any doubt about your institution's status, confer with your institutional keyholder.

### **Reporting Period Covered**

Report all data for fiscal year (FY) 2015. Fiscal year 2015 is defined as the most recent 12-month period that ends before October 1, 2015, that corresponds to the institution's fiscal year. [AL component]

### **Staffing Types, FTEs and Expenses**

#### Definitions of Staffing Types

##### *Librarians*

"Librarians" are professional staff as defined by NISO: Staff members doing work that requires professional education (the master's degree or its equivalent) in the theoretical and scientific aspects of librarianship. [NISO 39.7-2013, section 3.4]

##### *Other professional staff*

Other professional staff are staff performing professional level tasks who, though not librarians, have equivalent education and training in related fields (e.g., archives, preservation or conservation, computer sciences, business administration, education). [NISO 39.7-2013, section 3.4]

*All other paid staff (except student assistants)*

Library staff members without formal qualification in librarianship/information science or other relevant specialization, not included elsewhere. [NISO 39.7-2013, section 3.3]

*Student assistants*

Student assistants, employed on an hourly basis whose wages are paid from funds from the library budget or from an account(s) within the institution, including the Federal Work-Study Program. [based on Academic Library Survey]

Column (1), Number of full-time equivalent (FTE) employees (lines 01, 02, 04, and 05)

Report the number of filled or temporarily vacant FTE positions assigned to the library as of November 1, 2014.

Additional survey guidance: report FTEs supported through from the library's budget. However, if known, if significant, and if specifically for library business, include FTEs from expenses from the institution's budget (e.g., for staffing counts, you may include full counts for federal work-study students working for the library, but do not include counts for maintenance and custodial staff). If there are significant counts included or excluded because of how budgeting/expenses are handled at your institution, indicate in a note at the end of this survey whether your reporting here includes or excludes them.

To compute FTEs for part-time employees and student assistants, take the TOTAL number of hours worked per week 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 (e.g., 60 hours per week of part-time work divided by 40 hours per full-time week equals 1.50 FTE). Data should be reported to two decimal places. [NISO Z39.7-2013, section 3]

Column (2) Salaries and Wages from all identifiable sources including the library, exclude fringe (lines 01, 02, 04, and 05)

Report salaries and wages before deductions for all full-time and part-time library staff, including student assistant wage and Federal Work-Study students' wage, from the library budget or all other institutional sources that are identifiable. [AL component]

Additional survey guidance: include salaries and wages by staffing types and exclude fringe benefit expenses. (lines 01, 02, 04 and 05, column (2))

The total calculated in Column (2), line 06 is used for the AL component.

Number of hours to work per week to be considered "full time" at the institution (line 07)

Indicate the number of hours a person needs to work per week at the institution to be considered "full-time."

Are staff fringe benefits paid from the library budget? (line 08)

If staff fringe benefits are paid from the library budget, select yes. If benefits are not paid from the library budget, select no. [AL component]

*Total staff fringe benefits (IF paid by library budget) (line 09, column (2))*

If fringe benefits are paid by the library budget (“yes”), report all cash contributions in the form of supplementary or deferred compensation other than salary. Do not include the employee's contribution. Employee fringe benefits include retirement plans, social security taxes, medical/dental plans, unemployment compensation plans, group life insurance plans, worker's compensation plans, and other benefits in-kind with cash options. If fringe benefits are not paid by the library budget (“no”), report ‘0’ (zero) for the amount. [AL component]

### **Expenses (exclude staff)**

Expenses should be reported for the most recent 12-month period that corresponds to your institution's fiscal year that ends before October 1, 2015. Report funds expended by the library (regardless of when received) from its regular budget and from all other sources; e.g., research grants, special projects, gifts and endowments, and fees for services. If items in this section are not paid from the library budget but can be easily identified in other parts of the institution's budget, report them here. The exception is fringe benefits -- report fringe benefits only IF it's paid from the library budget [see above in Staffing Types, FTEs and Expenses, lines 08 and 09]. All expenses should be reported in whole dollars in the most appropriate category to provide an unduplicated count of expenses. Exclude expenses for new buildings and building renovation. [AL component]

### Materials/Service Cost

*One-time purchases of books, serial back-files, and other materials (line 20)*

Provide the cost of one-time purchases of books, serial backfiles, and other materials. Report expenses for published materials in all formats including archives and special collections, except current subscriptions to serials. Include one-time acquisitions of access rights for digital/electronic materials held locally and for remote materials for which permanent or temporary access rights have been acquired. Include expenses for database licenses only if it's not a subscription or part of an annual consortium fee. Do not include expenses for computer software used to support library operations or to link to external networks, including the Internet. This is reported under other operations and maintenance expenses. [AL component]

Report the library's expenses for e-books in the e-books' block only if the library can identify these expenses separately. (line 20a) [AL component and new]

E-book expenses should be included in the block labeled “One-time purchases of books, serial back-files, and other materials.” Any expenses for e-books indicated in this separate block (line 20a), will not be added into the Total materials/services expenses. Expenses for e-books is included as an informational data point.

*Ongoing commitments to subscriptions (line 21)*

Report expenses for ongoing subscriptions to serials in all formats, including duplicates, for all outlets. These are publications issued in successive parts, usually at regular intervals, and, as a rule, intended to be continued indefinitely. Serial subscriptions include periodicals, newspapers, annuals (reports, yearbooks, etc.), memoirs, proceedings, and transactions of societies. Include the costs of electronic serials bought in aggregations and serial packages. Include abstracting and indexing services and any database that requires an annual subscription fee. Include annual electronic platform or access fees. Do not include subscription fees if they are part of an annual consortium fee. Government documents received serially are included if they are accessible through the library's catalog. [AL component]

*All other materials/service cost (line 22)*

Report additional materials/service costs that have not already been reported in this section.

Other materials may include:

- Document delivery/interlibrary loan services. Include fees paid for photocopies, costs of facsimile transmission, royalties and access fees paid to provide document delivery or interlibrary loan. Include fees paid to bibliographic utilities if the portion paid for the interlibrary loan can be separately counted. Do not count expenses related to transactions between the main or central library and branches, transactions between branches, or expenses for an on campus delivery. Include fees expended for short-term loans as part of a patron-driven acquisition or demand-driven acquisition program.
- Other expenses for information resources. Report expenses such as those for cartographic materials and manuscripts. Include copyright fees and fees for database searches, e.g. (Lexis-Nexis).

[AL component]

Additional survey guidance: include the costs for bibliographic management systems (e.g., RefWorks, EndNote) if provided through the library's budget for students and faculty. This survey views these products as information resource management tools.

Total materials/services cost calculated (line 23)

This line will automatically be calculated for you. (sum of lines 20, 21 and 22; line 20a will be excluded) [AL component]

Operations and Maintenance Expenses

*Preservation services (line 24)*

Report expenses associated with maintaining library and archival materials for use either in their original physical form or in some other usable way. This includes but is not limited to binding and rebinding, materials conservation, de-acidification, lamination, and restoration. Also, include preservation-related contracts for services (e.g. digitization). Do not include staff salaries and wages. [AL component]

*All other operations and maintenance expenses (line 25)*

Report any other maintenance expenses that have not already been reported in this section.

Include:

- Computer hardware and software expenses. Report expenses from the library budget for computer hardware and software used to support library operations, whether purchased or leased, local or remote. Include the expenditure for equipment used to run information service products when that expenditure can be separated from the price of the product.
- National, regional, and local bibliographic utilities, networks and consortia.
- All other operating expenses. Report all other expenses from the library budget not already reported. Exclude expenses for new buildings and building renovations. Include all expenses for furniture and equipment. Include any related maintenance costs.

[AL component]

Additional survey guidance: report consortial fees under “All other operations and maintenance expenses”. Include expenses for database licenses, serial subscription fees, and other annual electronic platform or access fees, if they were part of an annual consortium fee. Do not report these under “Ongoing commitment to subscriptions” or “One-time purchases” expenses. [AL component]

Total operations and maintenance expenses (line 26)

This line will automatically be calculated for you. (sum of lines 24 and 25) [AL component]

Are expenses reported in Canadian dollars? (line 27)

If expenses are reported in Canadian dollars, select yes. If expenses are not reported in Canadian dollars, select no.

**Total Expenses** (lines 30 and 31)

These amounts will be calculated for you. Both lines are used for the AL component.

**Library Collections**

This section of the survey collects data on selected types of material. It does not cover all materials. Report the total number of each category held at the END OF THE INSTITUTION’S Fiscal Year 2015. [AL component]

Count only those materials that are considered part of your collection. Collections comprise of documents held locally and remote resources for which permanent or temporary access rights have been acquired. Access rights may be acquired by the library itself, by a consortium and/or through external funding. Acquisition is to be understood as securing access rights and including it in the library catalog, or other library databases or discovery systems. Interlibrary borrowing and document delivery are excluded from the collection. Include government documents that are cataloged and/or searchable through the library catalog or discovery system. [AL component]

A discovery system product consists of an interface directed toward the users of a library to find materials in its collections and subsequently to gain access to items of interest through the appropriate mechanisms. Discovery systems tend to be independent from the specific

applications that libraries implement to manage resources, such as integrated library systems, library services platforms, repository platforms, or electronic resource management systems. In most cases they provide access to multiple types of materials, independently of the management platform involved. Discovery systems provide an interface with search and retrieval capabilities, often with features such as relevancy-based ordering of search results, facets presented that can be selected to narrow results according to specific categories, contributors, or date ranges, and tools to identify related materials or to refine search queries. Examples of discovery systems can be found at <http://librarytechnology.org/discovery/>.

Physical Books (include government documents and serial backfiles) (line 40, column (1))

Report the number of volumes using the ANSI/NISO Z39.7-2013 (section 4) definition for volume, which is 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 and music scores. For the purposes of this questionnaire, unclassified bound serials arranged in alphabetical order are considered classified. Exclude microfilms, maps, nonprint materials, and uncataloged items. Include all government document volumes if individual titles are searchable through the library’s catalog or discovery system 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 online catalog or discovery system. [AL component]

Additional survey guidance:

- although the IPEDS AL component refers to this section as “Books, Physical” their definitions and instructions include print serial volumes. IPEDS is capturing information on academic library print collections.
- government documents include local, state, regional, federal and international.
- include open access (OA) titles if the individual titles are searchable through the library’s catalog or discovery system. [AL component]

Digital/Electronic Books (include government documents) (line 40, column (2))

Report the number of e-book titles owned or leased by the library if individual titles are cataloged and/or searchable through the library’s catalog or discovery system. E-books are digital documents (including those digitized by the library), licensed or not, where searchable text is prevalent, and which can be seen in analogy to a printed book (monograph). Include e-book titles in aggregated sets in which the library selected the aggregator even if not each individual e-book title. Report the number at the administrative entity level; do not duplicate unit count for each branch. Include government e-documents, locally digitized electronic books and electronic theses and dissertations. Do not include titles in Demand-Driven Acquisition (DDA) or Patron-Driven Acquisition (PDA) collections until they have been purchased or leased by the library. [AL component]

E-books are loaned to users on portable devices (e.g., e-book readers) or by transmitting the contents to the user's personal computer for a limited time. [AL component]

Additional survey guidance:

- count e-book titles as the equivalent of one volume, regardless of the number of users.
- all government documents include local, state, regional, federal and international acquired through an acquisitions/distribution program such as the Federal Depository Library Program and available in the library's catalog or discovery system.
- include open access (OA) titles if the individual titles are searchable through the library's catalog or discovery system. [AL component]
- report doctoral dissertations in electronic format [NISO 39.7-2013, section 4.3.5]
  - + include theses in electronic formats.
  - + include only those dissertations and theses from your institution unless purchased locally.
  - + if dissertations and theses are reported as e-books, do not report also in institutional repositories.
  - + a dissertation database such as ProQuest Dissertation & Theses Database is reported as a database.

#### Serial titles (line 41, column (1) and column (2))

*Please note:* specific collection information about serials is not reported in the AL component. However, serials are an important content source by users of academic libraries. These measures are requested because of the importance of journals and other serials to academic library users, and as an informational data point to help libraries seeking such information for benchmarking studies.

Report the number of physical (line 41, column (1)) and digital/electronic (line 41, column (2)) serial titles that are accessible to users through the library's catalog or discovery system.

A serial is a publication in any medium issued in successive parts bearing numerical or chronological designations and intended to be continued indefinitely. This definition includes, in any format, periodicals, newspapers, and annuals (reports, yearbooks, etc.); the journals, memoirs, proceedings, transactions, etc. of societies; and numbered monographic series. [NISO 39.7-2013, section 4.3]

An e-serial is a periodical publication that is published in digital form to be displayed on a computer screen.

Additional survey guidance:

- report serial titles, not subscriptions.
- include count of ceased titles if available.
- include open access (OA) titles if the individual titles are searchable through the library's catalog or discovery system.
- if possible, for each measure, report the count of only those de-duplicated or otherwise unique serial titles searchable through the library's catalog or discovery system. If

possible, do not count earlier title changes; do not worry about removing any earlier titles in title changes if it is not possible/feasible. A source for counting e-serials may be a library- or vendor-developed A-Z title list of e-journals.

#### Databases (line 42, column (2))

Report the total number of licensed digital/electronic databases in your collection if the library provides bibliographic or discovery access at the database level. Each database is counted individually even if access to several databases is supported through the same vendor interface. [AL component]

A database is collection of electronically stored data or unit records (facts, bibliographic data, and texts) with a common user interface and software for the retrieval and manipulation of the data. The data or records are usually collected with a particular intent and relate to a defined topic. Each database is counted individually even if access to several databases is supported through the same vendor interface. [AL component]

Do not include the library's discovery system tools in the count of databases. Do not include "individual releases" such as annual updates of content or the migration of the user interface to the next vendor-release (i.e., interface version 3.0 replaces version 2.0) as separate databases. [AL component]

Additional survey guidance: include e-book databases but report the individual e-book titles within the database separately under Digital/Electronic Books (line 40, column (2)).

#### Physical Media (line 43, column (1))

Report the total titles of media materials that are displayed by visual projections or magnification or through sound reproduction, or both, including graphic materials, audio materials (include audio books), motion pictures, video materials, and special visual materials such as three-dimensional materials. ~~Items packaged together as a unit (e.g. two CD-ROMs for one record book) and checked out as a unit are counted as one physical unit.~~ [AL component]

Please note: the paragraph above is from the IPEDS AL component. Respondents to the 2015 survey have noted that the last sentence is confusing and have urged its deletion. While it cannot be deleted, we have struck it out and will recommend that IPEDS reconsider the sentence before including it in future surveys.

Additional survey guidance:

- media is counted as titles. For example, count microform titles not the number of boxes of microfilm rolls.
- report titles cataloged and/or searchable through the library's catalog or discovery system.
- microforms are photographic reproduction of textual, tabular, or graphic material reduced in size so that they can be used only with magnification. Examples of microforms are roll microfilm, aperture cards, microfiche, ultrafiche, and reproductions on opaque material.

[AL component]

- cartographic material are materials representing in whole or in part the earth or any celestial body at any scale (e.g., maps and charts). [AL component]
- Z39.7-2013 defines graphic materials as: “Opaque (e.g., two-dimensional) art originals and reproductions, charts, photographs or materials intended to be projected or viewed without sound, e.g., filmstrips, transparencies, photographs, posters, pictures, radiographs, slides, and collections of such materials.” [NISO Z39.7-2013, section 4.6]

Digital/Electronic Media (line 43, column (2))

Report titles of e-media materials owned or leased by the library if the individual titles are cataloged and/or searchable through the library catalog or discovery system. E-media materials are media materials that are in digital format and are available for download or streaming. For example, titles from Films on Demand or Alexander Street Press should be reported. Include digital graphic materials and cartographic materials. Include e-media titles in aggregated sets in which the library selected the aggregator even if not each individual title. Report the number at the administrative entity level; do not duplicate unit count for each branch. Do not count image databases (ARTStor, AP Photo Archives) in this category--count as databases. Do not include titles in Demand-Driven Acquisition (DDA) or Patron-Driven Acquisition (PDA) collections until they have been purchased or leased by the library. [AL component]

Additional survey guidance:

- count each media unit as the equivalent of one volume, regardless of the number of users.
- include open access (OA) titles if the individual titles are searchable through the library’s catalog or discovery system. [AL component]

Total Physical Collection – This line will automatically be calculated for you. (line 44, column (1)) [AL component] Please note that this total is used for the AL component and excludes serials (line 41, columns (1) and (2)).

Total Digital/Electronic Collection - This line will automatically be calculated for you. (line 44, column (2)) [AL component] Please note that this total is used for the AL component and excludes serials (line 41, columns (1) and (2)).

***Notes for Library Consortia***

A library consortium is any local, statewide, regional, or interstate cooperative association of libraries that provides for the systematic and effective coordination of the resources of schools, public, academic, and special libraries and information centers, for improving services to the clientele of such libraries. (U.S. Code of Federal Regulations, Sect. 54.500)

The purpose of library consortia can include:

- Cost reduction through group purchasing
- Professional development for library staff
- Resource sharing (content, technology, expertise, and funding)
- Networking, information sharing, mass communication
- Building shared integrated library management and cataloging systems.

For IPEDS's purposes, academic libraries that share an administrative unit are NOT considered a consortium (see definition of branch and independent libraries). There are two cases of consortium: one in which members share ALL library resources or one in which they share PARTIAL resources. Refer below for specific instructions in each case. [AL component]

A branch library is an auxiliary unit of an administrative entity that has at least all of the following:

1. Separate quarters
2. An organized collection of library materials
3. Paid staff
4. Regularly scheduled hours for being open to the public

[NISO 39.7-2013, section 2.1.4]

### Consortium Members Sharing ALL Resources

In the case of consortia where individual library members share ALL the same library resources and library budget, a parent/child relationship for reporting Academic Libraries data may be established if certain criteria are met. Parent/child relationships can be established for institutions if: (1) the child institution is in the same institutional sector as the parent, and (2) the child institution is not set up to report its own academic libraries expenditures or collections data. Once a parent/child relationship has been established, the parent institution will report all data for the child institution. Shared resources are to be reported at the system level. For example, if 20,000 e-book units were purchased by two institutions in a parent/child relationship to be shared, the parent institution will report 20,000 e-book units and not 40,000 e-book units. Institutions wishing to establish a parent/child relationship must contact the IPEDS Help Desk. [AL component]

### Consortium Members Sharing PARTIAL Resources

In the case where individual library members of the consortia share PARTIAL resources and/or set up to report their own academic libraries expenditures or collections data, they must do so for their individual institution. Please note the instructions below. [AL component]

#### - Reporting digital/electronic collection

If your library is part of a consortium of independent libraries and shares a common e-service (e.g., Overdrive), then your library should report the number of digital/electronic titles it has access to as part of its collection. For example, if your library pays a set annual fee, as part of a consortium, for access rights to 1,200 e-books that are shared across all members of the consortium, then your library should count the 1,200 titles as part of its e-book collection.

#### Reporting digital/electronic circulation

- If your library is part of a consortium of independent libraries and shares a common e-service (e.g., Overdrive), then count the number of digital/electronic usage for your library's e-books and e-media collection only. If the usage count for only your institution is not available from the e-service provider, you may allocate the total usage based on characteristics of the institutions in the consortia (e.g., based on percentage Full Time Equivalent students, based

on percentage of consortial fees, etc.). Do not include counts from other members of the consortium.

Reporting ongoing expenses for electronic/digital materials or database purchased through a set annual consortium fee

- Report them under “All other operations and maintenance expenses”. Do not include under “Ongoing commitments to subscriptions.”

[AL component]

Institutional Repositories (lines 50 and 51)

*Please note:* libraries have established, or host or administer institutional repositories to manage, preserve, and maintain the digital assets, intellectual output, and histories of their own as well as other institutions. In addition, librarians provide expertise by describing and enabling discovery as well as access while preserving and providing stewardship for these documents and digital information resources.

*Items contributed to the Institutional Repositories via uploads (line 50)*

Report the number of items uploaded to (i.e., number of all items available in) the library’s hosted or administered institutional repositories. Include all uploads whether by library staff, faculty, students, college staff, or other guests. If your library does not have an institutional repository, report “0”.

Additional survey guidance: content hosted in an institutional repository may include scholarly publications (pre-print, post-print and publisher versions), conference proceedings, white papers, technical reports, presentations (speeches, posters or PowerPoints), performances (e.g., dramatical, musical) datasets, software and video. Include digitized special collections including rare and unique materials as well as college publications that may include alumni magazines, class catalogs, and annual reports.

*Item usage from the institutional repository (line 51)*

Report the number of items used from the institutional repository during the reported fiscal year. Usage statistics may include page views, downloads, visits or other data related to the access of the items in the institutional repository. If your library does not have an institutional repository, report “0”.

Additional survey guidance: if available, download counts are preferred. If possible, limit the reported usage to only human readership. Institutional repository vendors have reported that their analysis of download traffic shows that a large number of downloads are generated by web spiders and robots, many from legitimate sources but many with an unknown purpose.

## **Library Services**

Physical Library Circulation / Usage

Line 60, column (1): Report the total number of times physical items are checked out from the general collections (not reserve). Include only initial checkouts (circulation), not renewals.

Exclude all interlibrary loan transactions. Include transactions of books and media (e.g., books, serials, videos, and sound recordings). Do not include transactions of equipment or computers. However, circulation of electronic reading devices (e.g., Kindles) can be included if the device is pre-loaded with e-books. For example, if a customer checks out a Kindle that is pre-loaded with 20 e-books, then that transaction counts as 1 physical circulation, not 20 electronic/digital circulation. (line 60, column (1)) [AL component]

Lines 61 and 62, column (1): If counts are available, also report renewals from the general collection (line 61, column (1)) and initial reserves (line 62, column (1)). If separate counts for general and reserve circulation are not available, please report the library's total physical initial circulation for the AL component on line 60 column (1).

These measures for renewals (line 61, column (1)) and reserves (line 62, column (1)) are requested as informational data points to help libraries seeking such information for benchmarking studies.

#### Digital/Electronic Library Circulation / Usage

Line 60, column (2): Report usage of digital electronic titles whether viewed, downloaded or streamed.

Include usage for e-books and e-media titles only, even if the title was purchased as part of a database. Do not include usage of titles in Demand-Driven Acquisition (DDA) or Patron-Driven Acquisition (PDA) collections until they have been purchased or leased by the library. Do not include transactions of VHS, CDs, or DVDs, as the transactions of these materials are reported under "physical circulation". (line 60, column 2) [AL component]

Count e-book and e-media title use as the equivalent of one volume, regardless of the number of users. Count the total number of times e-book and e-media titles owned or leased by the library are used if individual titles are cataloged and/or searchable through the library's catalog or discovery system including those e-book and e-media titles in aggregated sets whether the library selected the aggregator or the individual e-book title. Include the number of downloads from image databases and the number of views for streaming media. [AL component]

#### Additional survey guidance:

- report the total number of digital/electronic units accessed from the general collection.
- include transactions for units of digital/electronic books and media.
- exclude any transactions known to be from the reserves.
- exclude renewals.
- do not include serials.
- viewing documents is defined as having the full text of a digital document or electronic resource downloaded. [based upon NISO Z39.7-2013, section 7.7]

Many vendors will provide usage statistics in COUNTER reports. Project COUNTER Code of Practice is available at [http://www.projectcounter.org/code\\_practice.html](http://www.projectcounter.org/code_practice.html). Relevant COUNTER reports for e-books are: BR1: Number of Successful Title Requests by Month and Title; and

BR2: Number of Successful Section Requests by Month and Title. For media, the report MR1: Number of Successful Multimedia Full Content Unit Requests by Month and Collection, is most relevant. [AL component]

If COUNTER reports are available, IPEDS suggest that libraries report counts from BR1 and MR1. If BR1 and MR1 statistics are not available, BR2 and MR2 can be used. In cases where vendors do not provide COUNTER reports, libraries may report using other means for monitoring digital/electronic circulation/usage (downloads, session views, transaction log statistics, etc.). [AL component]

If counts are available, report separately for e-media reserves usage (line 62, column (2)). If separate counts are not available, please report the library's total digital/electronic initial circulation for the AL component on line 60 column (2).

E-book Usage (line 63, column (2) and line 64, column (2))

*Please note:* This breakdown is requested as an informational data point to help libraries seeking such information for benchmarking studies.

If counts are available, separately report e-book usage. If usage is available for COUNTER BR1, report on line 63 column (2). If usage is available for COUNTER BR2, report on line 64, column (2). Those libraries not using COUNTER should provide the most valid and reliable response possible on line 63, column (2) and make a note at the end of the survey, or report zero in column (2) on line 63 and in column (2) on line 64.

Additional survey guidance: the reported counts for lines 62, 63 and 64 will not be used as a sum to fill in Total Digital/Electronic Circulation on line 60, column (2).

E-journal Usage (line 65, column (2))

*Please note:* e-journal usage is not reported in the AL component. However, e-journals are an important content source by users of academic libraries. This breakdown is requested because of the importance of e-journals to academic library users, and as an informational data point to help libraries seeking such information for benchmarking studies.

*Also please note* that the ACRL Academic Library Trend and Statistics Editorial Board is not collecting use of print journal titles separately from other physical initial circulation (line 60, column (1)).

Count e-journal usage for licensed resources based upon Project COUNTER JR1 reports (which include any use in JR1GOA and JR1a reports) (line 65, column (2)). Those libraries not using COUNTER should provide the most valid and reliable usage possible, or report zero.

Additional survey guidance:

- viewing documents is defined as having the full text of a digital document or electronic resource downloaded. [based upon NISO Z39.7-2013, section 7.7]

- include the count for open access e-journal usage if the title is accessible through the library's catalog or discovery system.

#### Information Services to Individuals (lines 66 and 67)

Transactions and consultation interactions are information contacts that involve the knowledge, use, recommendations, interpretation, or instruction in the use of one or more information sources by a member of the library staff. Information sources include printed and non-printed materials, machine-readable databases (including assistance with computer searching), the library's own catalogs and other holdings records, other libraries and institutions through communication or referral, and persons both inside and outside the library. [modified slightly from NISO Z39.7-2013, section 7.3]

Transactions are typically walk-ups in person, or by phone, by e-mail, by the Web, and may take place at the reference desk or elsewhere. Include information and referral services. (line 66)  
[Academic Library Survey]

Do not report directional transactions here. A directional transaction is an information contact which facilitates the use of the library in which the contact occurs and which does NOT involve the knowledge, use, recommendation, interpretation, or instruction in the use of any information sources other than those which describe the library; such as schedules, floor plans, handbooks, and policy statements. Examples of directional transactions include giving instruction in locating, within the library, staff, library users, or physical features, etc., and giving assistance of a nonbibliographic nature with machines. [Academic Library Survey]

If a contact includes both reference and directional services, it should be reported as one transaction. [Academic Library Survey] When a staff member uses information gained from previous use of information sources to answer a question, the request is reported as an information request even if the source is not consulted again. [NISO Z39.7-2013, section 7.3]

Consultations are one-on-one or small group appointments (i.e., scheduled) with a library staff member outside of the classroom. Include consultations conducted in a physical or digital/electronic manner. Include appointments made with special collections or archives staff. This does not include any walk-up transactions, no matter what the length or topic discussed. (line 67)

If separate counts are not available for transactions (line 66) and consultations (line 67), report the total number of information services to individuals as transactions on line 66, and make a note at the end of the survey.

#### Virtual reference services (line 68)

Respond "yes" or "no" to the question about whether or not your library supports virtual reference services. Virtual reference services may be provided by email or the Web, and include information and referral services. [based on AL component]

Additional survey guidance: although the AL component defines a virtual reference service as taking less than 20 minutes, this time frame is not used in this survey. Do not limit the responses reported here to those less than 20 minutes; include all virtual reference services. The AL component only asks for a yes or no response, so the time frame as defined by the AL component will not affect the response for the AL component.

If the response is yes (you provide virtual reference), report the number for each type of interaction if collected by the library. (lines 68a - 68d)

A virtual reference interaction is a question that is received and responded to in electronic format and conforms to reference interactions in that it is an information contact that involves the knowledge, use, commendation, interpretation, or instruction in the use of one or more information sources by a member of the library staff. Virtual reference interactions include email, webform, chat, text messaging, instant messaging, or other network-based medium designed to support virtual reference. [NISO Z39.7-2013, section 7.3.1] Examples of Chat reference, commercial service (line 68b:V-02) are QuestionPoint and Tutor.com. Examples of Chat reference, instant messaging applications (line 68c: V-04) are Meebo and Library Help. [Academic Library Survey]

Indicate the number of branch and independent libraries (line 69)

Report the number of branch and independent libraries at your institution that were open all or part of the fiscal year. EXCLUDE THE MAIN OR CENTRAL LIBRARY.

Branch and independent libraries are defined as auxiliary library service outlets with quarters separate from the central library of an institution, which have a basic collection of books and other materials, a regular staffing level, and an established schedule. Include virtual/digital-based branch and independent libraries.

Branch and independent libraries are administered either by the central library, or as in the case of some libraries (such as law, medical, etc.), through the administrative structure of the other units within the university. Departmental study/reading rooms are not included. Please note that data for libraries on branch campuses (i.e., located in another community) are included if those campuses are registered under the same NCES Unit ID number as the main campus. [AL component]

NOTE - For schools in parent/child relationships, do not report the child institutions as branch libraries. However, if the child institutions have branches, the parent institution should report the combined branch libraries for itself and child institutions.

Information services to groups

Information contacts planned in advance in which a staff member, or a person invited by a staff member, provides information intended for a number of persons. Information service to groups may be either bibliographic instruction or library use presentations, or it may be cultural, recreational, or educational presentations. Presentations both on and off the library premises are

included as long as the library sponsors them. Meetings sponsored by other groups using library meeting rooms are not included. [NISO 39.7-2013, section 7.8.3]

Additional survey guidance: self-paced tutorials and staff training should be excluded, as well as meetings sponsored by other groups using library meeting rooms. [Academic Library Survey]

### *Presentations*

- Report the total number of presentations conducted in-person on line 70, column (1).
- Report the total number of presentations conducted using digitally/electronic formats, including web-based presentations, on line 70, column (2).  
Additional survey guidance: examples of web-based presentations include webinars and videoconferences.
- If in-person and online services to groups are not tracked separately, then simply submit the total number of presentations on line 70, column (3).

### *Attendance*

- Report the total number of persons attending or served by those presentations. (line 71, columns (1) and (2)). [Academic Library Survey]
- For multi-session classes, count each person only once regardless of the number of sessions attended if possible/feasible.
- If attendance is not tracked separately (physical or digital/electronic), then simply submit the total number of presentations on line 71, column (3)

### Number of hours open during a typical week in an academic session (line 72)

Report an unduplicated count of hours a library facility or facilities are open in a typical week, including the main library and branches, using the following method.

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. [NISO 39.7-2013, section 7.2]

Typical Week – A “typical week” is a time that is neither unusually busy nor unusually slow. Avoid holidays, vacation periods, days when unusual events are taking place in the community or in the library. Choose a week in which the library is open regular hours. [NISO 39.7-2013, section 7.2]

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). [Academic Library Survey]

### Gate counts

Report the number of persons who physically enter library facilities on an annual basis and/or in a typical week, whichever is easier for the responder.

If the library does not count entrances on an annual basis or for a typical week, please enter N/A in the appropriate block (either lines 73 or 74) or in both blocks.

Report the number of persons who physically entered library facilities in the past fiscal year on line 73.

Report the number of persons who physically entered library facilities in a typical week on line 74. It is understood that a single person may be counted more than once. [NISO 39.7-2013, section 7.1]

Typical Week – A “typical week” is a time that is neither unusually busy nor unusually slow. Avoid holidays, vacation periods, days when unusual events are taking place in the community or in the library. Choose a week in which the library is open regular hours. [NISO 39.7-2013, section 7.1]

### Total interlibrary loans and documents provided to other libraries (line 75)

Report the number of filled requests for material provided to other libraries. Do not include transactions between the main or central library and branches, or transactions between branches. [AL component and Academic Library Survey]

Additional survey guidance: the library staff may find a document in the collection which is transmitted directly to the patron requesting it. This should be reported under Information Services to Individuals. This part of the survey is measuring transactions between and among libraries.

Report the total of interlibrary loans and documents provided to other libraries on line 75 **IF** the library cannot report separately for all returnable and non-returnable interlibrary loans and documents. [AL component]

Report separately for all returnable and non-returnable interlibrary loans and documents if count is available.

Returnables. Report materials that the library expects to have returned. Examples of returnables include books, dissertations and theses, microfilm reels, sound recordings, and audiovisual material on line 75a. [Academic Library Survey]

Non-returnables. Report materials that the library does not expect to have returned. Examples of non-returnables include photocopies or facsimiles, fiche-to-fiche copies, print copies from microfilm, electronic full-text documents, and gratis print copies of unpublished reports and/or departmental working papers on line 75b. [Academic Library Survey]

The sum of these two lines will be calculated on line 75c.

Total interlibrary loans and documents received (line 76)

Report the number of filled requests for material received from other libraries. Exclude transactions between the main or central library and branches and transactions between branches. [Academic Library Survey]

Report the total of interlibrary loans and documents received from other libraries on line 76 **IF** the library cannot report separately for all returnable and non-returnable interlibrary loans and documents. [AL component]

Report separately for all returnable (line 76a) and non-returnable interlibrary loans (line 76b) and documents received from commercial services (line 76c) if count is available.

Documents received from commercial services are all transactions for which the library pays even if library staff is not involved in the transaction. This includes documents received by regular or express mail, by fax, or in electronic form.

The sum of these three lines will be calculated on line 76d.

**Other**

We are asking for your responses to the following two questions to assist the members of the ACRL Academic Library Trends and Statistics Survey Editorial Board to improve the survey and to learn about your use of the data file generated by your responses:

What library data would you suggest ACRL collect on this annual survey? (line 80)

Please provide a list of data (this is a multiple line text box) you would like the members of the ACRL Academic Library Trends and Statistics Survey Editorial Board to consider including in future surveys.

Will the library submit the data file generated by the responses to this survey and aligned with the IPEDS Academic Libraries (AL) component to the institution's IPEDS keyholder? (line 81)

Please answer "Yes" if you plan to provide the data file generated by your responses to this survey and aligned with the AL component to your institutional IPEDS keyholder. Otherwise, please click on "No."

**Notes**

**Please use this space to include information as requested in the survey questions or to provide context for the data you've reported above. (line 90)**

This is a multiple line text box for notes. [AL component]

Additional survey guidance:

- this is the only Note field for the survey.

- there are no limits to the number of characters.