UNIVERSITY OF CALIFORNIA

INSTRUCTIONS FOR REPORTING STATISTICS OF HOLDINGS
OF LIBRARY MATERIALS AND INTERLIBRARY TRANSACTIONS
For 2019-2020 data collection

In the past the UC Libraries' Statistics Report aligned its questions with those of the ARL. While ARL has now eliminated many of their old survey questions, UC's statistics will continue with the traditional collection and usage categories until further notice.

SCHEDULE A - REPORT OF HOLDINGS

➢ **HOLDINGS for last year (30-Jun-19)** should be the same figures as those reported for last year's tables. These figures may be revised if there has been a recount during the past year or if previous errors are detected. Such changes should be distinguished from actual additions or withdrawals and should be briefly explained in a footnote.

➢ **The ADDED** column should show the total count of material added to the collection during the past year for each category as explained below.

➢ **The WITHDRAWN** column should reflect the material for which records are withdrawn and material already counted but not to become part of a permanent collection.

➢ **HOLDINGS for this year (30-Jun-20)** should be equal to the sum of the figures given under "HOLDINGS" and "ADDED," less the figure under "WITHDRAWN."

1. **VOLUMES**. Use the ANSI/NISO Z39.7-2013 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; unclassified bound serials arranged in alphabetical order are considered classified. 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 catalog. 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.

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 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. *Include* ebooks obtained through CDL licenses for which the library pays a reduced fee or no fee.

2. **NUMBER OF SERIALS RECEIVED CURRENTLY**
Report the total number of unique serial titles, not subscriptions, that you currently acquire. This category includes both print and electronic serial titles. Do not include duplicate counts of serial titles. To the extent possible, report all government serials even if housed in a separate documents collection. Exclude unnumbered monographic and publishers' series.

In mid-July, CDL will send SFX reports for each campus for all of its licensed titles: Tiers 1, 2, and 3 (for those campuses that have activated their Tier 3 titles in SFX; campuses that have not activated local titles in SFX can run a separate report). These reports will be provided to campuses as xml files. Campuses will have to de-duplicate against their print titles (this can be done by sampling, if necessary).

Campuses should report ALL serial titles that they acquire, whether through consortial licensing or local purchases.

You may count ceased electronic titles. If access is provided through fees, then they should be counted as "purchased." If you do *not* pay for a ceased electronic title and you provide access to it, you can still count it as currently received, "not purchased."

> From ARL's definition, a serial is:
> *A bibliographic resource issued in a succession of discrete parts, usually bearing numbering, that has no predetermined conclusion. Examples of serials include journals, magazines, electronic journals, continuing directories, annual reports, newspapers, and monographic series.*

3. **ARCHIVES AND MANUSCRIPTS**
   UC libraries provide a unit of measurement, rather than counting, for archive and manuscript materials. The "Manuscript Unit" (MU) is equivalent to the shelf space occupied by one standard record storage carton.

   A manuscript unit is defined by the dimensions of a standard record storage carton (15"l x 12"w x 10"h). Over 80% of the manuscript material deposited at the RLFs and the majority of campus collections are stored in containers of this size. Other storage containers (both standard and non-standard) as well as loose archival items can be converted to MUs through standard measuring practices. Commonly used storage formats, such as letter size document boxes, legal size document boxes, and half-size document boxes, can be converted into MU measurements based on the assumption that all manuscript cartons are to be stored on the appropriate shelving: 15" deep shelves with a 12" aperture. Similarly, storage containers of non-standard size or groups of manuscript and archival materials can be calculated in terms of MUs – in terms of the shelf space they occupy in proportion to that occupied by a record storage carton. Examples include:

Container	Exterior Dimensions	MU Equivalent
Record storage carton	13 x 16 x 10.5 in	1.0
Document box	5.25 x 12 (or 16) x 10.5	.4
Half-width document box	2.5 x 12.5 (or 16) x 10.5	.2
Clamshell style box	10.25 x 12.5 (or 15.5) x 1.25	.1
Flat storage box	11.5 x 15 x 4	.3

   For space planning purposes:

   1 manuscript unit = 0.751 asf   or   1 asf = 1.332 manuscript units

   3.a. **PERSONAL MANUSCRIPTS.** Any text in handwriting or typescript (including printed forms completed by hand or typewriter) which may not be part of a collection of such texts. Examples may include letters, diaries, ledgers, minutes, speeches, marked or corrected galley and page proofs, manuscript books, and legal papers; in the aggregate they may include correspondence, memoranda, maps, drawings, near-print materials, and such printed items as pamphlets, periodical tear-sheets, broadsides, and newspaper clippings. Count by manuscript unit.

   3.b. **UNIVERSITY OF CALIFORNIA ARCHIVAL MATERIALS.** The preserved documentary records of the University of California. Count by manuscript unit.

   3.c. **OTHER ARCHIVAL MATERIALS.** The preserved documentary records of a corporate body, governmental agency or office, or any organization or group, which are the direct result of administrative or organizational activity of the originating body and which are maintained according to their original provenance. Count by manuscript unit.

4. **MAPS.** Include the numbers of pieces of two- and three-dimensional maps and globes. Include satellite and aerial photographs and images. Bound sheets of maps, charts, or cross sections should be counted under "VOLUMES."

5. **MICROCOPY.** Count each physical unit:
   5a. **Microfilm** by reel
   5b. **Microcard** by card
   5c. **Microfiche** by fiche
   5d. **Microprint** by print

6. **PAMPHLETS.** Count pamphlets under this category only if part of an organized pamphlet collection. "Organized" may refer to some minimal filing device, such as the numbering system of the issuing body. Though pieces in pamphlet collections are usually unbound and slight in size, other items in the collection should also be counted, e.g., stray bound volumes, individual numbers of a serial publication and serial documents. Do not count unbound issues of serials intended to be bound as such. Do not count unbound government documents not in organized pamphlet collections (see the next category), but count an organized pamphlet collection even if composed exclusively of government documents. Examples of organized pamphlet collections to be counted here might include: city and regional planning pamphlets, trade catalogs, examination files, curriculum materials, telephone directories, college and school catalogs, art exhibition catalogs, corporation annual reports, and reprint collections. Quandaries arising from difficulty in assigning pamphlet collections to "Volumes" or "Pamphlets" should be resolved by deciding whether or not they have received adequate permanent treatment, e.g., cataloging and incorporation into the general collections.

7. **GOVERNMENT DOCUMENTS NOT COUNTED AS "VOLUMES."** 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 non-print formats such as maps or CD-ROMs.

8. **AUDIO MATERIALS.**
   8a. **AUDIODISCS.** Discs, usually of vinyl, on which a continuous, fine spiral groove is impressed. As the audiodisc revolves, it causes a stylus on the playback device to vibrate. The mechanical energy thus produced is transferred to electric currents that are then converted to sound. Also called phonodisc, phonograph record, recording, and variants of these forms. Count by disc.

   8b. **AUDIOCASSETTES.** Permanently encased audiotapes that wind and rewind from reel to reel. Count by cassette. Accompanying audiocassettes physically attached to and used in conjunction with a monograph or serial is to be counted with the monograph or serial it comes with.

   8c. **AUDIOREELS.** Audiotapes mounted on open reels and designed to play from reel to reel. Count by reel.

   8d. **COMPACT DISCS, DIGITAL AUDIO.** Discs employing digital pulse modulation; audio material is encoded in binary form and designed to be read by a laser beam for playback. Count by disc.

9. **FILM AND VIDEO.**
   9a. **VIDEOTAPES.** Magnetic tapes upon which audio or video signals, or both, are recorded for television use. Videotapes may be on open reels or in cartridges or cassettes. Count by reel, cartridge, or cassette.

   9b. **VIDEODISCS.** Discs, usually plastic, on which are recorded video or audio signals, or both. Some videodiscs are digitally recorded and used for listening or viewing or in computer recording and playback systems. Others are non-digital and are used for listening and viewing. DVDs are counted as videodiscs. Also count here video games that do not fit into any other category. Count by disc.

   9c. **MULTI-MEDIA KITS.** Collections of resources including more than one type of medium, intended for use as units in which no medium is clearly dominant. Multimedia kits consist of two or more of the following in one unit: slides, audio cassettes or tapes, computer discs (excluding operational materials such as word processing systems), audiodiscs, videotapes, microforms, and printed materials. Count as kits.

   9d. **MOTION PICTURES.** Lengths of film, with or without recorded sound, bearing sequences of images that create the illusion of movement when projected in rapid succession (usually 18-24 frames per second.) The terms "motion picture" and "film" are often used interchangeably. Motion pictures are produced in a variety of sizes (8, super 8, 16, 35, 55, and 70mm) and a variety of formats (cartridge, cassette, loop, and reel.)

Count by title.

10. **GRAPHIC MATERIALS.**
    10a. **FILMSTRIPS.** Rolls of film, usually 35 millimeters wide, on which there is a succession of still pictures intended for projection one at a time. Count by title.

    10b. **OTHER PICTORIAL MATERIALS.** 1) Drawings and paintings in all media, or 2) Printed pictures produced by relief, planographic, intaglio, or mixed techniques, or 3) Still photographic images produced by any technique, excluding 35mm slides. Count by item.

    10c. **35mm SLIDES.** Single transparent photographic images usually incased in cardboard or metal mountings and intended for projection. Count by slide.

11. **COMPUTER FILES** (also known as MACHINE-READABLE DATA FILES)

    i. Count only files physically available to the public. Exclude datasets such as machine-readable catalogs, serials lists, and other files loaded into central systems and available only through terminals (NOTIS, MELVYL7, INNOPAC, etc.) If data is available on a tape which needs to be loaded by staff for use by a patron, such a tape would be included in a count of machine-readable data files. For example, if census data came on 9 track tapes that need to be loaded by a trained computer operator to provide the user with access to the census files, such tapes would be included in the count of holdings.

    Also exclude any software owned by the library for purely administrative use. If the library holds a copy of "public domain" software available for patron use, however, that would be counted.

    ii. Count format, not by content. For example, a CD-ROM disc of the Oxford English Dictionary would not be differentiated from a CD-ROM disc with visual images. Modes of information storage (tape density, reel size) should not be considered. The same file available on both a 5 1/4" and a 3 1/2" diskette would count as two floppy disks in the holdings.

    iii. Count by item, without regard for "volumes" and "titles." One CD-ROM could contain multiple volumes of an index, or one database on CD-ROM may be comprised of multiple discs. It would be artificial and unproductive to attempt to force machine-readable data into counting categories that are appropriate to other formats.

    iv. The number of CD-ROM serial discs should be counted as the number of discs available for use in the library at a time. Thus, if a CD-ROM subscription for a title is contained on one disc that is updated (i.e., replaced) once a month, count the title as one disc, not twelve.

    v. "Laser disc" is not a specific format to be counted here, but instead refers to any medium that is encoded and read with a laser beam. CD-ROMs, compact audio discs, and video discs are all laser discs. The latter format, video disc, is not a digital format; it is a recording of an analog television (video) signal, sometimes with digital audio and digital frame addresses, laid down on a 12" shiny platter by means of a laser beam. The image obtained on the screen is not a digital image; you cannot manipulate it with a computer, copy it into another digital format, etc. Video discs should be counted separately, as video formats.

    vi. An "interactive media" package is not a specific format to be counted here, and may be hard to fit neatly into a category for the statistics report. Sometimes in an interactive package, the video disc can stand alone from the computer software. In other cases, neither the software nor the video disc predominates; the package most closely resembles a multi-media kit. Libraries should choose a suitable category on the basis of the characteristics of each individual package.

    vii. Count only physical items received by the library; do not count machine-readable data files for which there is no physical surrogate retained by the library. For example, do not count data files transferred via network and stored on library or campus computers.

    viii. In cases of multi-format items where one component is a machine-readable data file, count the machine-readable data file separately only if it represents the predominant part of the item. In cases where the separate formats in a multi-format package are equally significant, libraries may choose to count the various formats separately. Do not count machine-readable data files that are supplementary

accompaniments to printed texts (e.g., a demonstration or practice disk accompanying a textbook). Do not count a machine-readable data file that is already counted in another format, such as a multi-media kit.

11a. **COMPUTER TAPES.** Magnetically encoded tapes used to store computer programs, data, or other digital, machine-readable information. Computer tapes are usually 9 track, range in width from 4mm to .50 inches, and may be stored on open reels, cassettes, or in cartridges of various sizes and shapes. Count only those tapes that are exclusively or primarily intended for patron use. Count by reel.

11b. **Monographic CD-ROMs.** Outright purchases of completed works, such as dictionaries.12 centimeter (4.75") plastic discs with reflective polymer coatings, digitally encoded and read by a laser beam, and used to store textual, numeric, graphic, or program information. CD-ROMs typically hold approximately 540 megabytes of data and provide "read-only" access to the information encoded on them.

11c. **Serial CD-ROMs.** Licensed for use in the library; updated at regular intervals. Count only those discs that are exclusively or primarily intended for patron use. Count by disc. Count separately from compact audio discs (Compact Discs, Digital Audio). Accompanying CD-ROM physically attached to and used in conjunction with a monograph or serial is to be counted with the monograph or serial it comes with.

11d. **FLOPPY DISKS.** 3.5" or 5.25" magnetically encoded disks encased in plastic or mylar, used to store computer programs, data, and other digital, machine-readable data. Count only those disks that are exclusively or primarily intended for patron use. Count by disk, even if the data on the disk has subsequently been transferred to a fixed (hard) disk and is primarily used in that format. Accompanying floppy disks physically attached to and used in conjunction with a monograph or serial is to be counted with the monograph or serial it comes with.

SCHEDULE B - Materials Withdrawn or Deselected From Local Collections

Contributed to a Designated Shared Print Collection:
Report the number of items that were contributed to a designated shared print collection such as the UC JSTOR archive or a WEST archive. [Note: This used to say "withdrawn from the collection." However, you should count any item contributed to a retrospective shared print collection. For a complete list of shared print collections, see: http://www.cdlib.org/services/collections/sharedprint/agreements_combined.html.]

Withdrawn due to existence of Designated Shared Print Collection:
Report the number of items that were withdrawn or de-selected from the campus collection due to the availability of those materials in a designated shared print collection. For a complete list of shared print collections, see: http://www.cdlib.org/services/collections/sharedprint/agreements_combined.html.

Withdrawn in Lieu of Storage:
Report items selected for deposit at the Northern or Southern Regional Library Facility but were discovered to be duplicated at that facility and therefore were withdrawn from the campus collection. The total number of volume equivalents withdrawn during the reporting year should be credited toward the reporting campus' "annual volume commitment for storage" for that year.

SCHEDULE C - INTERLIBRARY TRANSACTIONS

Instructions for Campus Transactions:
Interlibrary loan statistics are supplied by each University campus library, combining data from its Interlibrary Loan and Interlibrary Borrowing units. All interlibrary loan transactions should be reported by total number of titles, including "non-returnable" items (regardless of the technology used to produce and deliver the copy – e.g., photocopy, fax, scanning). Count each journal article as one title. Direct and messenger loans to personnel of other UC campuses shall not be considered interlibrary loans. A photocopy purchased and received from a commercial document supplier is treated as an interlibrary borrowing transaction if the copy is not permanently retained by the library for its collection.

Instructions for RLF Transactions (based on the September 26, 2000 Draft Guidelines for Recording ILL Lending Transactions for the Regional Library Facilities):

The RLFs will be considered separate campuses for reporting purposes and will adhere to the following principles when compiling ILL statistics[1]:

For returnable items:
- Will report "items lent" rather than "lending transactions" or "requests filled."
- Will report all items lent to UC libraries for use by UC users.
- Will not report items lent to UC libraries that are subsequently lent to non-UC libraries.
- Will report all items lent directly to non-UC libraries.
- Will not report items lent to UC libraries for technical processing or preservation processing purposes.
- Will not report items lent to or used by individuals who are on-site at the RLFs.

For non-returnable items:
- Will report paper or electronic "documents delivered" via mail, fax, Ariel, and the web.
- Will report all documents delivered to UC libraries (except as noted below), non-UC libraries, and individuals at remote locations.
- Will not report documents delivered to UC libraries that are subsequently sent to non-UC libraries.
- Will not report documents produced for individuals who are on-site at the RLFs.

SCHEDULE D –LIBRARY MATERIALS BY BUILDING LOCATION
FOR RISK MANAGEMENT

Use the relevant definition for library materials from Schedule A for Schedule D, except do not include ebooks or digital serials. Schedule D is an inventory of physical materials. Building numbers can be obtained through campus facilities or capital planning offices. RLF materials should be included, and indicated as such (as a separate building).

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[1]The RLFs will utilize existing automated and manual methods for collecting data on lending and document delivery activity. Some automated methods (e.g., circulation system reports) may be incapable of distinguishing certain categories of data to be excluded from data to be counted. Consequently, some duplicate counting (between the campuses and the RLFs) may occur.

SCHEDULE E –WORKLOAD INFORMATION

1.a. **Number of staffed library service points**. Count the number of staffed public services points in the main library and in all libraries included in these statistics, including reference and 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.

1.b. **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 in 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).

1.c. **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. Include virtual reference transactions. EXCLUDE SIMPLE DIRECTIONAL QUESTIONS. A directional transaction is an information contact that facilitates the logistical use of the library and that does not involve 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. Please indicate in a footnote if the figure is based on sampling.

1.d. **Number of virtual reference transactions.** Virtual reference transactions are conducted via email, a library's website, or other network communications mechanisms designed to support electronic reference. A virtual reference transaction must include a question either received electronically (e.g. via email, web form, etc.) or responded to electronically. A transaction that is both received and responded to electronically is counted as one transaction. Exclude phone and fax transactions unless either the question or answer occurs via the manner described above. Include counts accrued from participation in any local and national projects such as DigRef and the Library of Congress' CDRS (Collaborative Digital Reference Service).

1.e. **Number of 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 or quarter, each session should be counted. Presentations to groups may be for either bibliographic instruction, cultural, recreational, or educational purposes. Presentation 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 in a footnote if the figure is based on sampling.

1.f. **Number of total participants in group presentations**. Report the total number of participants in the presentations reported on above (1.e.). 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 (1.c.). Please indicate in a footnote if the figure is based on sampling.

2. **Number of items checked out (initial circulation)**. Count the number of initial transactions during the fiscal year from the collection for use usually (though not always) outside the library. Do not count renewals. Count the total number of items lent, not the number of borrowers. Exclude reserve circulations.

SCHEDULE F: DIGITAL RESOURCES

Question #1: Electronic Reference Sources

Quantity

Includes licensed citation indexes and abstracts; full-text reference sources (e.g., encyclopedias, almanacs, biographical and statistical sources, and other quick fact-finding sources); full-text journal and periodical article collection services (e.g., EBSCOhost, ProQuest, Academic Universe, and INFORTRAC OneFile); dissertation and conference proceedings databases; and those databases that institutions mount locally.

[Implementation note from Tony Harvell: Use MARC 006 field SrTp (Type of Continuing Resource) with a value of "d" (Updating Database).]

Usage

["Sessions" is no longer used by Counter.]

Number of searches (queries) to reference source or database
A search is intended to represent a unique intellectual inquiry. Typically, a search is recorded each time a search request is sent/submitted to the server.

Question #2: Electronic Books

Quantity

This is a subset of "Volumes" on Schedule A. Count the number of electronic full-text monographs that are owned or leased by your library. This includes electronic books purchased through vendors, and e-books that come as part of aggregate services. Include individual titles of e-book sets that are counted as individual reference sources reported in #2. *Include* locally digitized electronic books, theses and dissertations. *Include* e-books obtained through CDL licenses for which the library pays a reduced fee or no fee.

[Implementation note from Tony Harvell: Use the MARC BOOKS 006 Field 06 (form) value "s" (electronic) AND the presence of an ISBN (020) to identify.]

Question #3: Digitized Collections

Applies only to locally digitized collections on campuses.

Quantity

Collections can include born digital materials or those created in or converted from different formats (e.g., paper, microfilm, tapes, etc.) by the library and made available to users electronically. This includes locally held digital materials that are not purchased or acquired through other arrangements (e.g., vendor, individual or consortial licensing agreement). Born digital collections can include materials self-archived in an institutional repository**.** Created or converted digital collections can include electronic theses and dissertations (ETDs), special collections materials, maps, sound recordings, and films.

1. **Number (How many digitized collections do you have?)**
2. **Megabytes (size)**
3. **Items (e.g., number of unique files) if possible**

Exclude back-up copies or mirror sites since items should be counted only once. Exclude e-reserves and ETDs provided by ProQuest or other vendors.

Usage
1. Views: Number of times the unique files were accessed
2. Queries: Number of queries conducted (if there is such a capability) during the reporting period